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ABSTRACT

This publication describes the present structure of New York's depository library program and presents a state plan for future federal depository library service through improved bibliographic and physical access at the local level. The purpose of the depository library program and the rationale for a state plan are reviewed, as are the development of New York's state plan and the location, collections, and activities of the state's depository libraries. The four components of the plan are then outlined, i.e., collection development and resource sharing; bibliographic access and tools; services; and public relations, education, and training. Within each component, responsibilities at three levels are identified: the individual selective depository, the regional reference and research library resources council, and the New York State Library as a regional federal depository. It is noted that plan implementation and review will be achieved through the creation of a geographically balanced six-member Advisory Council on Federal Depository Library Service with monitoring, reporting, and lobbying functions. Appendices present a copy of laws in force relating to government depository libraries; an analysis of the collections, administration, and services of New York federal depository libraries; and four related items. Three addenda, an executive summary, and a list of persons involved in this project are also provided. (ESR)

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NEW YORK STATE PLAN FOR FEDERAL DEPOSITORY LIBRARY SERVICE

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PREPARED BY THE

TASK FORCE ON

FEDERAL DEPOSITORY LIBRARY SERVICE

IN NEW YORK STATE

1983

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The University of the State of New York
The State Education Department
The New York State Library
Albany, New York 12230

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NEW YORK STATE PLAN

FOR FEDERAL DEPOSITORY LIBRARY SERVICE

Prepared by the

Task Force on Federal Depository Library Service in New York State

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EXECUTIVE SUMMARY

The New York State Plan for Federal Depository Library Service has as its primary purpose the promotion and use of federal publications made available to the public through the Federal Depository System, and the facilitation of awareness and use through improved bibliographic and physical access at the local level.

The Plan uses the existing framework of New York's nine Reference and Research Library Resources Councils. The Plan's goals and objectives are designed to be capable of integration within each region's total acquisition and service policy while taking into account differing circumstances within and among regions.

This document begins with six background sections:

The Preface by State Librarian and Assistant Commissioner for Libraries Joseph F. Shubert (p. vi) sums up the background and activities of the Task Force;

The Task Force on Federal Depository Library Service in New York State (pp. vii-viii) is a list of Task Force members, State Library staff liaisons, and the Task Force consultant;

Purpose of the Depository Library Program (p. 1) discusses the background of the federal depository system and of New York State depository libraries' participation in the program;

Rationale for a State Plan (pp. 2-3) describes the origin of the State Plan concept, progress made by states in adopting such plans, and the response by the New York State Library to the proposal for a State Plan for Federal Depository Library Services;

Development of the New York State Plan (pp. 4-5) gives background information on Task Force appointments and activities as well as the role of the State Plan for Federal Depository Library Service in New York State's comprehensive library service plan;

Present Structure of New York's Depository Library Program (pp. 6-8) is a brief overview of number and type of depository libraries, geographic distribution of depository libraries, duties of depository libraries, the Regional Federal Depository Library, collections and services of depository libraries, special sharing agreements, and documents interest groups in New York State.

The component parts of the Plan (pp. 9-17) cover four major sections: collection development and resource sharing; bibliographic access and tools; services; public relations, education, and training. Within each component, the Plan identifies responsibilities at three levels: the individual selective depository, the regional reference and research library resources council, and the New York State Library as Regional Federal Depository.

Implementation and Review (pp. 18-19) will be achieved through the creation of a six-member statewide Advisory Council on Federal Depository Library Service. Membership shall be geographically balanced and shall include representatives from depository libraries, NYLA-GODORT, and Reference and Research Library Resources Councils. The proposed Advisory Council functions include monitoring and reporting on the depository program and on Plan effectiveness, lobbying appropriate bodies on behalf of the depository program, coordinating fund-seeking activities, recommending planning support studies, and serving jointly with the Regional Federal Depository as liaison for the library community in communicating to the U. S. Government Printing Office and to the Depository Library Council to the Public Printer suggestions for improvements in the Federal Depository Program.

Three addenda follow:

> Recommendations to the Government Printing Office (pp. 20-21) recognizes the importance of GPO policies and practices in the functioning of the depository library system, and makes suggestions to GPO for strengthening the program;
>
> Policy Context (pp. 22-23) describes the political, economic, and social significance of access to government documents in a free and information-oriented society;
>
> Research Proposal (pp. 24-25) recommends a national-level economic study of the role of depository libraries and librarians in the federal information transfer process.

The final component consists of six appendices:

> Appendix A (pp. 26-29) is a list of federal depository libraries by Reference and Research Library Resources Council Area;
>
> Appendix B (p. 30) is a map of Reference and Research Library Resources Councils;
>
> Appendix C (pp. 31-36) is a copy of laws in force relating to government depository libraries;
>
> Appendix D (p. 37-53), Profile of New York State Federal Documents Depository Libraries, is an analysis of type of library, collections, accessibility and housing, recording and processing, service and usage, staffing and budget, and regional depository library service based on the Superintendent of Documents January 1982 biennial report of depository libraries;

Appendix E (p. 54) is a sample entry from which could be used in the compilation of regional or statewide directories of depository libraries;

Appendix F (pp. 55-56) contains the text of an American Library Association resolution on restrictions on access to government information adopted by ALA Council on July 14, 1982.

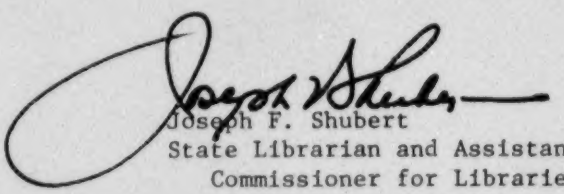
PREFACE

In response to a proposal from the Depository Library Council to the Public Printer, in March of 1982 I appointed a Task Force to develop a comprehensive State Plan for Federal Depository Library Service.

During the past year, these Task Force members have actively sought broad-based involvement by the library and user communities in the development and review of such a plan. Library and system directors, associations, civic groups, and documents resource persons played important roles in discussion and/or information-gathering efforts within each region.

Task Force members, the consultant and State Library staff conducted two statewide meetings, participated in regional meetings, and prepared and disseminated publications, including the August 1982 draft State Plan. This revised document is the result of that process of review and comment.

I thank all who responded so enthusiastically and who so generously contributed their time, energy and intellectual faculties to the development of this plan.



Joseph F. Shubert
State Librarian and Assistant
Commissioner for Libraries

October 1983

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PURPOSE OF THE DEPOSITORY LIBRARY PROGRAM

The Depository Library Program, established by the United States Congress to help fulfill its responsibility to inform the public on the policies and programs of the Federal government, is based upon three principles:

1) with certain specified exceptions, all government publications shall be made available to depository libraries;

2) depository libraries shall be located in each state and Congressional district in order to make government publications widely available; and

3) these government publications shall be available for the free use of the general public.

Chapter 19, Title 44, of the U.S. Code is the authority for the establishment and operation of the depository program and, as Charles McC. Mathias, Jr., Chairman of the Joint Committee on Printing, has pointed out, "The laws establishing the depository library system are among the oldest right to know statutes passed by the U.S. Congress."[1]

The New York State Library, a Regional Depository for Federal Publications since 1963, and the 91 selective depositories within New York State, whose designations range from the early nineteenth century (New York State Library) to the most recent 1983 designation (City University of New York Law School at Queens College), form an integral part of an important process by which government documents, themselves intimately connected with a cherished heritage of freedom and a representative and accessible government, are made available to an inquiring public.

Documents librarians are keenly aware of the variety, scope, complexity, and sheer numbers involved in their daily acquisition of Federal documents; depository librarians recognize that their documents collections have the potential for satisfying a wide range of community needs. Management and staff of Federal depository libraries recognize that the acceptance of depository status carries with it the obligation to consider the needs of, and to provide services to, a group which may be broader than its usual primary clientele. Integrating Federal documents into the mainstream of library information service, increasing the awareness of the availability and usefulness of this unique source of information to the entire library population, depository and nondepository alike, are goals implicit in the New York State Plan for Federal Depository Library Service and speak to the single most important element of the plan: a commitment to serve the user of government publications.

[1] Government Depository Libraries: The Present Law Governing Designated Depository Libraries, Joint Committee Print of the Joint Committee on Printing, U.S. Government Printing Office, revised March, 1981. pp.v, 1.

RATIONALE FOR A STATE PLAN

The State Plan concept for Federal depository library service originated at the Spring 1981 meeting of the Depository Library Council to the Public Printer. It was there that the Council's Depository Library Systems Committee reported on the problems of space, staffing, and finance that were brought to light in their survey of Regional Depository libraries. Concerned that these problems were fast approaching crisis proportions and recognizing that no single solution could serve the varying and unique needs of the 50 states, Council adopted the following Resolution:

> In order to bolster the regional depository libraries' capabilities to serve their state missions and in order to assure that Federal documents are available throughout the United States on an equal and expeditious basis, the Depository Library Council recommends that the Public Printer investigate the feasibility of requiring each state to prepare a plan to coordinate the Federal documents depository program within the state. The plan should be developed through consultation with all designated Federal depository libraries within the state and should address all depository responsibilities outlined in the Instructions to Depository Libraries as well as the concerns expressed through the Regional Depository Library Survey presented to the Depository Library Council at the first afternoon session of the Spring 1981 meeting.[1]

The Public Printer responded favorably, observing that "we recognize the diverse needs of individual states for effective Regional depository services, and . . . . wish to go on record as encouraging depositories in states that have need of such plans to undertake them."

Council further resolved at its Fall 1981 meeting that the Public Printer should proceed to encourage the development of state plans, noting that such plans "would provide a cost-effective means of enabling states to share the responsibility for the development of collections and the provision of services." The resolution contained a list of elements to be addressed in the formulation of individual state plans; these included collections, service, bibliographic access, communication among state plan participants, financial responsibility, goals, review and evaluation mechanism, signed agreement among the participants, approval by state library agency or other designated body, and other considerations (visits, training, publicity, and optional participation by Federal libraries). Council requested that the concept be publicized by disseminating information describing and illustrating state plans to the depository library community and to the Chief Officers of State Library Agencies (COSLA).[2]

Responding to a letter from the Superintendent of Documents supporting the development of State plans for Federal depository libraries as a "modern and potentially cost-saving means of improving public access to government documents, in accordance with Title 44," COSLA placed the issue on its October Santa Fe agenda and encouraged state library agencies to name state contact persons as the first step in the development process.

By the time of the Fall 1982 meeting of the Depository Library Council, 44 states had advised the Government Printing Office (GPO) of their contact persons, and 32 states gave progress reports at a State Plan information exchange arranged in

conjunction with the Council sessions. It was reported that most state activities presently fall somewhere between the information-gathering process and final draft review and approval. Two states, Missouri and Utah, are in the implementation stage, having successfully moved their plans through all requisite statewide and GPO approval procedures.

In a letter to GPO designating New York State's contact person, Peter J. Paulson, Director of the New York State Library, expressed strong support for the concept of State Plans for Federal depository services and noted that although New York in 1964 was one of the first states to develop and publish such a plan, the document was now "in need of review and updating."[3] He also enclosed a letter from Joseph F. Shubert, State Librarian and Assistant Commissioner for Libraries, to the directors of library systems and depository libraries in New York State explaining the State plan concept and welcoming the opportunity to update and revise the 1964 document.

[1]The full text of the Council resolution and the Public Printer's response appears in Public Documents Highlights, no.48/49, October/December, 1981, p.5 (SuDoc no.: GP3.27:48/49).

[2]The full text of the Council resolution and the Public Printer's response appears in Public Documents Highlights, no.51/52, April/June, 1982, p.5 (SuDoc no.: GP 3.27:51/52).

[3]Federal Depository Library Service in New York State: A report by the State Library Committee on Federal Depository Service. Albany: The New York State Library, 1964.

DEVELOPMENT OF THE NEW YORK STATE PLAN

The New York State Plan for Federal Depository Library Service has been developed with the participation of depository and nondepository libraries across the state, library schools, professional and civic associations and organizations, resource persons, and user clientele.

Shortly after his return from the 1981 COSLA meeting, Joseph F. Shubert, State Librarian and Assistant Commissioner for Libraries, initiated a series of steps leading toward the development of a revised State Plan for New York. Letters and calls went out to Directors and Librarians of library systems, central, co-central, and depository libraries, library school faculty, NYLA/GODORT officers, and other interested groups inviting participation and recommendation of names for appointment to a Task Force on Federal Depository Library Service in New York State. Response was immediate and overwhelming.

The twelve member Task Force selected reflected the diversity of New York's 91 Federal depository libraries and provided representation for each of the state's nine reference and research library resources regions.[1] There was a statewide user representative as well. In addition, many of the original nominees agreed to serve as resource persons, participating in meetings and other regional activities and working with Task Force members to obtain full discussion and consensus on the part of the depository community.[2]

In his charge to the Task Force, Mr. Shubert spoke directly to New York State's commitment to the user of government publications:

> The purpose of the Task Force on Federal Depository Library Service in New York State will be to develop a coordinated plan which will meet the objectives and requirements of Federal law, and carry out the purpose of the depository library program by providing the widest access to Federal information to all users. In developing such a plan, the Task Force will need to look at the state plan elements suggested by the Superintendent of Documents, with special concern for such matters as: the geographic distribution and service policies of Federal depository libraries; coordinated collection development and resource sharing; the need for consultation, training, and public relations activities; and the impact of computer data bases and microforms on access and availability. The Task Force should recommend a plan by which the resources of individual depository libraries, the regional depository, library systems, and professional organizations may be coordinated to meet the information needs of the 1980's.

Cogent to the State Plan for Federal Depository Library Service are the two basic goals for library service identified in the State Library's long-range program publication, Library Service to the People of New York State: 1) timely and free access to informational resources and 2) the sharing of resources by all libraries within the State through local, regional, and State participation. This separately published State Plan for Federal Depository Library Service provides the detailed description of responsibilities which, when fulfilled, will contribute the full potential of the Depository Library program to New York's comprehensive library plan.

New York State's nine Reference and Research Library Resources Systems, effectively used to achieve full participation in developing this plan, will also play a major role in its successful implementation. Library Service to the People of New York State provides the following description of these systems:

> Reference and Research Library Resources Systems are regional associations of libraries in publicly and privately supported colleges and universities, special libraries (both in corporate and not-for-profit organizations), and public library systems....
>
> A basic goal of these systems is the sharing of resources to meet the reference and information needs of the library user, students and faculty of institutions of higher education, the professions and others. Among the services the reference and research systems offer are interlibrary loan; staff education and inservice training; delivery services; improved communication among libraries; production of union lists and bibliographic control programs; microfilming and preservation programs; cooperative use of computer-based systems; reciprocal access; and interface with the New York State Interlibrary Loan system (NYSILL).

The integration of the State Plan within New York's comprehensive plan for library service and within its regional structure will achieve two mutually reinforcing goals: acknowledgment of the importance of Federal documents as an information source in New York State's libraries, and recognition of the role of the nine reference and research library resources systems in providing access to this information.

[1]The City University of New York Law School at Queens College became New York's 92nd Federal depository library on February 22, 1983.

[2]The documentary history of the New York State Plan for Federal Depository Library Service, including the reports and recommendations from the nine library regions, will be reproduced on microfiche and made available.

PRESENT STRUCTURE OF NEW YORK'S DEPOSITORY LIBRARY PROGRAM

Number and Type of Depository Libraries

There are 92 depository libraries in New York State. They are broken down by type of library as follows:

TYPE OF LIBRARY	NUMBER OF DEPOSITORIES
Academic	54
Public	17
Law	13
Medical	2
Federal	2
Agriculture	1
State library agency	1
Court	1
Library System	1

Geographic Distribution of Depository Libraries

Depositories are located in each of the state's nine reference and research library resources councils. The number of depository libraries ranges from four (Rochester Regional Research Library Council; Southeastern New York Library Resources Council) to forty (New York Metropolitan Reference and Research Library Agency, Inc.). Appendix A is a list of depository libraries by reference and research library resources council.

In each of the nine regions, at least one depository library is located in or near the city where the council is headquartered. Within regions, most depositories are within convenient geographic access of other depository libraries although there are distances of more than fifty miles in North Country, South Central, and Western. Appendix B is a map of reference and research library resources councils with federal depository locations superimposed.

Duties of Depository Libraries

Chapter 19 of Title 44 of the United States Code sets forth the duties imposed on depository libraries. These include custody and service for the documents they select, accessibility and free use of publications by the public, retention of documents for at least five years, and reports on the condition of the collections to the Superintendent of Documents on at least a biennial basis.

The Regional Federal Depository Library

The New York State Library in Albany has been a regional depository library since November 14, 1963.[1] Its original regional territory was all of New York State outside of New York City; since 1969 it has been the regional depository library for the entire state. In that capacity, it has responsibilities in addition to those of selective depositories for both collection development and public service. 44 USC 1912 specifies that regional depository libraries must receive and retain in either print or microform all depository documents (except those authorized to be discarded by the Superintendent of Documents). The same section also requires regional depository libraries to provide depository libraries in their region with interlibrary loans, reference service, and assistance with the disposal of unwanted government publications.

Collections and Services of Depository Libraries

Through their depository libraries, New Yorkers have access to federal documents collections ranging in size from under 10,000 (ten institutions) to more than one million (The New York State Library). The smallest item selection span is one to four percent (three specialized libraries); at the other end of the spectrum, the State Library receives 100% of federal depository documents available for selection. 27 libraries are also depositories for a total of eleven other federal agency publications programs.

Services rendered by federal depository libraries include onsite access, circulation, interlibrary loan, reference assistance, online data base searches, referral service, and reproduction of documents materials. For details on service policies, as well as other characteristics of New York State depository libraries, see Appendix D, "Profile of New York State Federal Depository Libraries."

Sharing Agreements

To increase availability of documents, two federal depositories in New York State have entered into sharing agreements with other libraries in their areas. Under these arrangements, the depository library selects items which are housed at the other institution. Material is subject to the same regulations as any other depository holdings, and the depository library remains the library of record. The two depository libraries which have instituted these agreements are the Troy Public Library, which cooperates with Rensselaer Polytechnic Institute (Capital District Library Council); and the Onondaga County Public Library, which has an arrangement with the Supreme Court Law Library in Syracuse (Central New York Library Resources Council).

Documents Interest Groups

The depository library program in New York State is enhanced by the existence of documents interest groups at the state, regional, and local levels. The organizations further the development and usefulness of governments collections, increase communication among documents librarians, and promote documents education and training opportunities for all interested parties.

At the state level, the New York Library Association Government Documents Round Table (NYLA-GODORT) has five purposes: furtherance of knowledge and use of all types of government publications; planning and coordinating related programs; communication between librarians and other interested parties working with government documents; publishing materials relating to the government documents field; and encouraging legislation for the improvement of printing, distribution and utilization of government documents.

At the regional level, there are four active documents interest groups:

- The Capital District Depository Librarians Group (New York) has members from seven institutions, including four academic institutions, a law school, a public library, and a regional federal depository. The Group exchanges information about members' collections and services, sponsors programs on topics of interest to documents librarians, and acts as a channel for the communication of information on the federal depository system.

- The Committee on Government Information, a standing committee of the Long Island Library Resources Council, has as its purpose the provision of a forum for government documents librarians of Nassau and Suffolk Counties and, through cooperative activities, the furtherance of dissemination of information about, and the use of, government documents. Activities include functioning as a government documents information center, coordinated collection development, publication of a directory of government documents collections and librarians, working with local and state government agencies to improve distribution and availability of their publications, and education of librarians and the user community about public documents.

- The Western New York Library Resources Council Documents Committee was created as a direct result of the activities connected with the work on the State Plan for Federal Depository Library Service in New York State. Its charge from the Council is to collect and disseminate information on documents to all libraries in the Western New York Library Resources Council; a current project is a guide to collections in the area.

- The METRO Government Documents Interest Group's charge is to foster cooperation, coordination, and education in the dissemination of government information. A subcommittee has been created to work on a directory of documents collections.

Locally, the Westchester County Documents Group consists of the federal depository libraries in Westchester County (three colleges, one law school, two public libraries) plus a Census Bureau depository (one public library). The Group's purpose is to learn about documents resources in the county; projects include a list of item numbers selected by federal depository libraries and a list of retrospective holdings of major documents titles.

[1] TheDepository Library Act of 1962 officially created regional depository libraries, but the New York State Library had been operating as a "central state depository and loan collection" under an experimental agreement with the Superintendent of Documents since 1956. For details, see William P. Leonard, "The Federal Documents Depository System in New York: A New Approach", New York State Library Bookmark 15 (April 1956): 153-154.

NEW YORK STATE PLAN FOR DEPOSITORY LIBRARY SERVICE

The New York State Plan for Federal Depository Library Service is intended to create an environment that will enable librarians in general and depository librarians in particular to put into place policies and procedures that will assure that Federal documents are freely accessible to all residents of New York State through information services which are relevant to individual user needs and can be located and used with the least expenditure of individual time and effort. The Plan organizes its component parts under four major sections: Collection development and resource sharing; bibliographic access and tools; services; public relations, education and training.

Responsibilities are identified at the following levels: the individual depository libraries, the nine regional reference and research library resources councils, and the New York State Library as Regional Depository. The Task Force also urges NYLA/GODORT, local documents groups, and schools of library and information science to assume active roles in all Plan activities and invites user input and participation on the part of private citizens and members of professional, civic, and business organizations. In all components of the State Plan, compliance with Federal law is assumed (See appendix C).

SECTION I. COLLECTION DEVELOPMENT AND RESOURCE SHARING

GOAL: TO ASSURE THAT A COMPLETE BODY OF FEDERAL PUBLICATIONS IS ACCESSIBLE TO ALL RESIDENTS OF NEW YORK THROUGH THE ACQUISITION AND DEVELOPMENT OF CURRENT AND RETROSPECTIVE COLLECTIONS IN ALL APPLICABLE FORMATS

A. Each Depository Library accepts the responsibility to:

1. Identify and address the needs of its user constituency and, where possible, the subject interest requests of local nondepository libraries and civic/business/professional groups.

2. Select and acquire the Federal depository publications necessary to meet the identified needs and interests of the population served, including the basic collection identified in Guidelines for the Depository Library System.[1]

3. Review item selections and weeding/disposal policies on at least an annual basis.

4. Cooperate in item selections with other Federal depository libraries to ensure availability of depository materials necessary to satisfy the wide-ranging subject interests of its particular region's user community.

5. Recommend for acquisition, either by the individual library or under a regional coordinated collection development program, commercially-produced tools that would strengthen the region's Federal information collection and/or access thereto.

6. Identify and establish mutual-awareness and resource-sharing relationships with other depository libraries and with other Federal information facilities holding resources supplemental to depository materials (e.g., Federal Information Centers; Census Data Centers; Census, Patent, and Map depositories; Cooperative Extension services; Veterans and Military offices and installations) and with special libraries whose collections include technical and contractor reports.

B. Each Reference and Research Library Resources Council (identified hereinafter as region) accepts the responsibility to:

1. Coordinate regional cooperative acquisition of Federal depository materials, both current and retrospective, through the institution of methods, agreements, and arrangements best suited for its particular region (e.g., efforts on the part of local depositories, where feasible and desirable, to assume collection responsibilities for specific items and/or agencies within the List of Classes of U. S. Government Publications Available for Selection by Depository Libraries).

2. Include consideration of Federal information collections and/or access tools in regional activities relating to New York State's Coordinated Collection Development Program.

3. Incorporate information about documents in council newsletters on a timely and on-going basis, including current awareness reports on the region's Federal documents collection development activities.

C. The New York State Library, as Regional Depository, accepts the responsibility to:

1. Support the mandate of the Regional Depository Act of 1962 by maintaining, either in paper copy or microform, a complete collection of all Federal documents distributed through the Depository Library Program.

2. Acquire commercially produced and non-depository publications which supplement and enhance the depository collection (e.g., NTIS Reports, Energy Contractor Reports; ERIC Reports; ASI non-depository fiche collection; CIS U.S. Congressional Committee Prints fiche collection; Declassified Documents, etc.)

3. Identify depository selections of significant reference value and acquire circulating copies in order to support and enhance existing interlibrary loan obligations (e.g., Census Bureau publications relating to New York).

4. Develop and issue to depository and Federal libraries a set of disposal guidelines that will:

   (a) simplify procedures required of depository libraries in the disposal and transfer of Federal documents,

   (b) ensure that retrospective documents not widely held will be identified and retained in the state,

   (c) encourage Federal libraries to participate in the disposal and transfer of documents to depository libraries.

5. Attempt to acquire important Federal publications found to be lacking in the Library's retrospective collection.

6. Establish a cooperative relationship with the New York State Census Data Center in order to provide technical advice and dissemination services for the Center's products.

7. Inform the depository library community, in a timely and ongoing manner, of significant Federal collection-development activities undertaken by the State Library (e.g., New York State Census Records, 1790-1925; A Guide to the Microform Collections in the New York State Library).

[1]The Guidelines also suggest the selection of at least 25% of the available Item Numbers on the Classified List as necessary to undertake the role of a depository library.

SECTION II. BIBLIOGRAPHIC ACCESS AND TOOLS

GOAL: TO PROVIDE A LEVEL OF BIBLIOGRAPHIC ACCESS TO FEDERAL INFORMATION THAT IS USER-FRIENDLY AND WILL ENABLE USERS TO IDENTIFY AND RETRIEVE GOVERNMENT PUBLICATIONS WITH THE LEAST POSSIBLE EXPENDITURE OF INDIVIDUAL TIME AND EFFORT

A. Each Depository Library assumes the responsibility to:

1. Maintain an up-to-date record of local holdings and, insofar as possible, provide bibliographic control for documents at a level equal to that of other library collections.

2. Build and maintain a core reference collection of depository and commercial catalogs, indexes, and directories sufficient to meet local user needs.[1]

3. Develop a "Service Profile" for inclusion in a regional and/or statewide directory that will identify and list significant library strengths, holdings of major non-depository and commercial bibliographic tools and collections, access policies (e.g., circulation, interlibrary loan, etc.), hours of service, network and database affiliations, documents resource persons, etc. (See sample format, Appendix E).

4. Participate in the compilation of a Statewide union list of major document, reference, and microform sets held by depository libraries.

5. Identify commercially produced documents-related reference and research tools whose purchase by libraries would significantly improve a region's ability to provide user access to Federal information; make this information available to the regional Council for dissemination to its Coordinated Collection Development committees.

B. Each Reference and Research Library Resources Council assumes the responsibility to:

1. Incorporate depository "Service Profiles" into any existing regional directory, or if considered feasible, compile and distribute a regional Federal documents directory.

2. Institute procedures that will enable depository libraries to share useful access tools with the region's nondepository libraries (e.g., superseded sets of the Publications Reference File fiche and superseded sets of the GPO Depository Union List of Item Selections fiche).

3. Disseminate information submitted by local depository libraries on major reference and research access tools needed in the region to interested members of the regional Coordinated Collection Development committees (See II.A.5. above).

4. Include information about new acquisitions of major documents-related access tools and databases in the council newsletters.

7. The New York State Library, as Regional Depository, assumes the responsibility to:

1. Produce, distribute, and issue timely updates to, a Statewide directory of Federal information resources (See II.A.3. above).

2. Compile, distribute, and issue timely updates to, a Statewide union list of major document, reference, and microform sets held by depository libraries (See II.A.4. above).

3. Investigate the feasibility of providing depository libraries with Dial up access to Federal depository materials through the State Library's online Collection Management System (CMS), bibliographic access points to include SuDoc and Item numbers.

[1]Statewide Advisory Council may wish to consider the development of a list of reference tools considered basic for a depository collection.

SECTION III. SERVICES

GOAL: TO ASSURE FREE PUBLIC ACCESS AND THE HIGHEST POSSIBLE LEVEL OF FEDERAL DOCUMENTS SERVICE TO ALL NEW YORK RESIDENTS

A. Each Depository Library recognizes its responsibility to:

1. Provide free public access to its Federal documents collection at all hours that the rest of the collection is accessible and available.

2. Provide Federal information to users in a usable and appropriate format.

3. Provide an adequate number of trained staff to assure a level of reference and/or lending service equal to that provided for the rest of the library collection.

4. Expedite interlibrary loan of Federal documents by providing assistance in verifying citations for nondepository libraries seeking to access local depositories or the New York State Library.

5. Provide documents referral service where appropriate, referring users and/or user requests from one selective depository to another as well as to the Regional Depository or other relevant Federal information facilities.

6. Provide adequate space and equipment to house the documents collection (all formats) in a manner that will best facilitate public access and use.

7. Provide sufficient copiers, microform readers, reader/printers, and other appropriate equipment to ensure barrier-free access to the documents collection.

8. Include searching of database files with Federal information as part of any online searching service it offers its clients, either on-site or through the State Library database services statewide program.

9. Provide the kind of service that will mainstream documents into the consciousness of the library's non-documents librarians and users through all appropriate methods (e.g., catalog entries, signs, bibliographies, user guides, audiovisual orientation, reference/consultative sessions).

10. Participate in, or foster the organization of, a documents interest group(s) within the region to develop and coordinate Federal documents service policies and to strengthen relationships with documents colleagues.

B. Each Reference and Research Library Resources Council recognizes its responsibility to:

1. Support and assist the development of a formal documents interest group(s) within the region to aid the Council in coordinating and planning Federal documents service policies.

2. Develop a documents component within any existing region-wide interlibrary loan policy manual/handbook.

3. Provide an efficient, region-wide delivery system (e.g., courier service or telefacsimile).

4. Include within any on-line searching service for its member libraries, equal searching services for federal information data bases.

C. The New York State Library, as Regional Depository, recognizes its responsibility to:

1. Provide statewide reference and interlibrary loan services, retain a complete documents retrospective collection in paper copy or in a microformat suitable for use by the borrowing libraries, and issue a NYSILL Manual that will clarify loan policies and specify information needed for the lending of Federal documents.

2. Provide a toll free telephone line for communications from depository libraries.

3. Provide access to Federal information online search services.

4. Include a documents delivery component in the design for any system using telefacsimile or other technology to speed up the transfer of information between libraries.

5. Survey the extent to which equipment for reading, reproducing, and storing of microforms, including equipment for reproduction of Readex microprint cards, is available in each regional system and explore means of extending its availability.

6. Provide fiche-to-fiche duplication service, both for interlibrary loan and for replacement of lost or damaged fiche.

7. Initiate a pilot program to test the feasibility of supplying to depository libraries microcomputers and appropriate management software packages for the administration of documents collections.

8. Monitor and distribute information regarding the availability and qualities of new and existing machine-readable resources, both bibliographic and informational; access devices; and data delivery and transmission facilities.

SECTION IV: PUBLIC RELATIONS, EDUCATION AND TRAINING

GOAL: TO INCREASE PUBLIC AWARENESS OF THE AVAILABILITY AND USEFULNESS OF FEDERAL INFORMATION

A. Each Depository Library assumes the responsibility to:

1. Encourage staff participation in workshops, training sessions, and professional meetings designed to inform librarians and potential users about the scope and depth of Federal documents, the tools which provide access to this information, and the availability of these materials either directly within the library region or on interlibrary loan.

2. Make use of available marketing/public relations tools and techniques to acquaint its constituency and the local nondepository user population of the value of its Federal depository holdings (e.g., new documents displays, user guides, posters, newsletters, GPO radio and television tapes, GPO and Consumer Information Center catalogs, lists, and brochures).

B. Each Reference and Research Library Resources Council assumes the responsibility to:

1. Identify regional documents-related training and/or information needs (e.g., state of the art in microform equipment; computer literacy re available hardware/software; special formats expertise: maps, patents, census tapes) and sponsor seminars, workshops, information sessions as part of the region's continuing education program.

2. Encourage use of locally available resource persons, including documents librarians and/or library school staff, to visit, advise, and assist depository librarians within the region.

C. The New York State Library, as Regional Depository, assumes the responsibility to:

1. Make available State Library resources to stimulate interest in continuing education efforts within the State's regions(e.g., assistance in planning, organizing, and evaluating user education programs).

2. Produce and make available training materials, including printed guides (e.g., User Guide for 1980 State Data Center microfiche products) and video tapes (e.g., Federal Register Training Seminars).

3. Investigate the feasibility of offering Federal documents field work opportunities for library and information science students.

4. Coordinate publicity and/or public relations campaigns, both integrating documents information within general publicity, and planning customized publicity/public relations with special attention to the less familiar area of documents.

5. Develop a roster of educators specializing in Federal documents and/or Federal information policy.

6. Provide consultative services to depository libraries and, as often as possible, participate in the GPO inspection visits.

7. Act as a clearinghouse for information and materials that will increase the public's knowledge of documents and services available through the Depository Library Program.

IMPLEMENTATION AND REVIEW

The goals and objectives established for the parties participating in the State Plan for Federal Depository Library Service are those upon which consensus was found to exist during plan development. They outline a basic level of services, collections, and cooperative activities in resource sharing, including training, public relations, publicity and new technologies.

The State Plan as finally adopted represents only the first phase of what is intended to be a continuously developing plan for Federal Depository Library Service.

The mechanism for implementing and continuously evaluating the State Plan is the Statewide Advisory Council on Federal Depository Library Service. The proposed organization and mission of this body is set forth below:

A six-member Statewide Advisory Council shall be established. Membership shall be geographically balanced, with representation allocated as follows: depository librarians, 3 members (1 public library, 2 academic libraries); NYLA/GODORT, 1 member; Reference and Research Library Resources Councils, 2 members. The New York State Library liaison to the Council shall be the Regional Library Documents Coordinator.

The first Council will be appointed by the State Librarian. The term of office of this first Council shall be one year, during which period the members shall recommend for State approval by-laws, terms of office and procedures for nomination and selection of future Council members.

The functions of the Advisory Council will include the responsibility to:

1. Advise the New York State Library/Regional Depository on the priorities to be addressed in the implementation of the State Plan.

2. Monitor, review, and report to the State Librarian and Assistant Commissioner for Libraries on the performance of the Federal Depository Library Program in New York and the effectiveness of the State Plan, including problems observed and new opportunities noted for Plan enhancement.

3. Lobby appropriate bodies (e.g., GPO, Joint Committees on Printing, State Legislature, etc.) on behalf of depository library services and resources.

4. Coordinate the investigation and pursuit of funding sources to support the activities of the selective depositories and regional councils in conjunction with their assigned roles in the implementation of the State Plan.

5. Recommend studies which, by providing data on the cost of depository library service, will assist depository library administrators in planning.

6. Serve (jointly with the Regional Depository) as official liaison in communicating to GPO and to the Depository Library Council recommendations for Depository Program improvements.

The Council might wish to establish relationships with NYLA/GODORT, other library associations, and library schools to receive professional and user reaction to plan effectiveness and/or suggestions on plan improvements. Library associations and schools should also be encouraged to participate directly in facets of the plan itself. In public relations, education and training, they might play particularly appropriate roles as sponsors or participants in library workshops and seminars. This is especially true today, because as governmental and private organizations continue to study the social, economic, and legal implications of public sector/private sector relationships, there will be a need for briefings, newsletter coverage, workshops and other communication to enable librarians to keep abreast of changes as part of their professional activity. NYLA/GODORT and/or library school seminars appear to be possible avenues of communication for this kind of activity.

The Council may also be asked to serve in a consultative capacity in the State Library's review of applications for designation as federal depository libraries. The Standards for such designation remain those enunciated in New York's original 1964 plan:

"... in order to guarantee the best possible Federal depository library service in the State as a whole, great care must be taken in filling existing vacancies.

The Committee recommends that the following be used as criteria for evaluating applications for depository designation:

1. Significant growth in population and/or student enrollments and/or research demands in the region in which the depository is to be located.

2. Willingness to accept responsibility, both in terms of acquisitions and interloan services, for meeting the depository needs of the region in which the depository is to be located.

3. Staff and space to service and house the depository collection.

4. Inadequate existing depository materials and services in the area."

ADDENDUM 1. RECOMMENDATIONS TO THE GOVERNMENT PRINTING OFFICE

The Task Force gratefully acknowledges the work of the United States Government Printing Office in the design, implementation, and administration of the federal depository library program. In recognition of the importance of GPO policies and practices in the functioning of the depository library program, the Task Force makes the following recommendations:

I. COLLECTION DEVELOPMENT AND RESOURCE SHARING

A. The Government Printing Office should attend carefully to the management and monitoring of its microfiche conversion program. While the cost/space savings of microfiche distribution are recognized, it is important that access to Federal information not be limited by inappropriate format and/or inability of the depository library to service properly its microfiche component. The Task Force therefore suggests that:

1. The Government Printing Office continue to be guided by the advice and relevant resolutions of the Depository Library Council in designating items for microfiche format; and

2. The Government Printing Office continue to provide technical advice and guidelines on microfiche preservation, storage, equipment selection, etc.

B. The Government Printing Office should foster the expansion of depository library resources by initiating linkages at the Federal level among various Federal information dissemination facilities (especially clearinghouses such as the National Alcohol Information Clearinghouse, National Health Information Clearinghouse, National Rehabilitation Information Clearinghouse, the Service Center for Aging Information, Project SHARE, etc.). All these Federal facilities should be aware of the depository library system and provide back-up reference.

C. The Government Printing Office should issue and distribute on an annual basis the "List of Superintendent of Documents classifications which may be discarded", also known as the "Superseded list" (distributed as Appendix C to the "Instructions for Depository Libraries" on August 19, 1981).

II. BIBLIOGRAPHIC ACCESS AND TOOLS

A. Bibliographic and locator tools produced by the Government Printing Office (or by the public and/or private sector with encouragement from the Government Printing Office) are crucial factors in enabling depository libraries to promote user awareness of and access to Federal information. The Task Force urges the Government Printing Office to:

1. Expedite its planned program to reformat the Monthly Catalog;

2. Issue the Publications Reference File (PRF) on at least a monthly basis to depository libraries;

3. Issue the Government Printing Office Depository Union List of Item Selections on a quarterly basis and make it available for sale by subscription through the Superintendent of Documents Sales program;

4. Continue to work with bibliographic utilities to develop a system for automatic listing of depository library holdings symbols for documents records (e.g., the OCLC DARP project).

5. Work with the information management components of Congress and the federal agencies to identify those government publications for which indexes and/or other access tools should be included or provided as an integral part of the publishing process.

III. SERVICES

A. The Government Printing Office should install a toll-free HOTLINE to assist regional and selective depository libraries by giving them prompt information about services whenever needed.

B. The Government Printing Office should develop a system for preannouncement of major forthcoming GPO publications on very timely, controversial or popular topics so that depository libraries can identify and respond to user requests for these popular items.

C. When online ordering of Federal documents becomes commercially available through DIALORDER, the Government Printing Office should provide ordering service for depository libraries at the same speed, but free of charge.

D. Documents librarians have been concerned for many years over the need for uniform guidelines on the gathering and reporting of documents statistics. The Government Printing Office is urged to work with the Statistics Task Force of the American Library Association Government Documents Round Table to develop guidelines that will address these concerns and that will facilitate a more consistent response to questions of a statistical nature.

IV. PUBLIC RELATIONS, EDUCATION AND TRAINING

The Government Printing Office should make every effort to assist Federal depositories in responding to demand in the wake of Federal publicity campaigns. The Task Force urges the Government Printing Office to involve the depository library community in the formulation of its marketing plan, and where possible, provide promotional materials to depository libraries, e.g., the GPO catalog of best sellers. The Government Printing office should supply depository libraries with sufficient numbers of its catalog of best sellers to distribute to patrons.

ADDENDUM 2. POLICY CONTEXT

The Task Force members felt it clearly incumbent that the New York State Plan include a statement describing the political, economic and social significance of access to government documentation in a free and information-oriented society, particularly given the present climate in which fiscal constraints, among other rationale, are being used to restrict the free flow of government information.[1] The Task Force finds this position philosophically consonant with the State Library's long-standing commitment to open public access.

Information is a resource of great human, social and economic value. Through the nearly 1400 Congressionally designated libraries across the United States, the body politic has been guaranteed free and open across to information about its government. The laws establishing the Federal depository library system are, in fact, among the oldest right to know statutes passed by the U.S. Congress and have ensured for the American public an integrated totality of Federal information that is part of our national heritage.

At the present time, Federal information is being distributed both through libraries and a variety of other organizations, both for-profit and not-for profit. All of these channels should be enhanced by public policies. As in all areas of public concern, societal and individual interests must be balanced, and nowhere is the need for this balance between the public and private sector more vital than in the context of open access to information. While we acknowledge the need for competitive private sector investment in large-scale data base and retrieval systems and the protection of private data rights, we must insist that the Federal government has the responsibility to provide Federal information together with the necessary bibliographic and locator tools to the public. Citizens must be aware and informed, regardless of their ability to use complex information systems and to pay for information services.

Accordingly, the New York State Plan for Federal depository library service is based on the following principles that need to be incorporated in public information policies:

1. The Federal government is responsible for ensuring equitable and open access by the public to Federal information. We accept the interpretation of "open access" and "open availability" as "making information available without prior restrictions (except those explicitly identified in the Freedom of Information Act) and without procedural complications."[2]

2. Information is a national resource for improving the quality of life of citizens, raising productivity, alleviating social problems and other aspects of the human enterprise, and thus it is in the national interest to provide information to the public.

3. The Federal government should acknowledge the role of private initiative in creating a diversity of information systems directed at the commercial and industrial markets that can be well served by private organizations, but the Federal government should maintain a leadership role in assuring an adequate level of free information flow to the public and should reinforce that role by integrated information policy development, research support, and manpower development.

4. Policies should be formulated, if necessary by coordinated Congressional and Executive Branch actions, to assure open information access for the public at the same time that the private sector is encouraged to produce and market competitive information products and services.

5. The generation, development, dissemination, and use of information should be considered as phases of a system of information transfer: consequently, the Federal Government should be responsible for policies assuring that Federal Information is not only made available to the public, but that every effort is made to encourage and ensure its use at the individual citizen level.

In order to act upon these principles, the Task Force endorses the overall goal of the New York State Plan:

> Bringing Federal documents into the mainstream of library services, ensuring for all residents of New York State the widest possible access to Federal information in the most timely and cost-effective mode.

[1] Resolution on Restrictions on Access to Government Information. Adopted by the Council of the American Library Association, Philadelphia, Pennsylvania, July 14, 1982 (Council Document #80). Printed as attachment to ALA Washington Newsletter, v. 34, #8, July 26, 1982. Reprinted as Appendix F of this document.

[2] U.S. National Commission on Libraries and Information Science. Public sector/private sector interaction in providing information services, report to the NCLIS from the Public Sector/Private Sector Task Force. Washington, D.C., Government Printing Office, 1982, p.23.

ADDENDUM 3. RESEARCH PROPOSAL

The development of state plans for improved access to Federal information offers a timely opportunity to recommend a national-level economic study of the role of depository libraries and librarians in the Federal information transfer process. Management studies in the past have concentrated mainly on the role of the Government Printing Office rather than on the demands faced and services offered by depository libraries.[1] Recognizing its shortcomings and responding positively to the studies, the GPO has reoriented its operations toward management techniques, cost and benefit analysis, and mass marketing.

Depository librarians with the assistance of the Federal and state advisory councils, state libraries, ALA/GODORT, NYLA/GODORT and other professional organizations should exploit the current Federal orientation. Given a fortuitous combination of effective nationwide state plans and the current GPO marketing strategies aimed at the improvement of the dissemination and public use of Federal information, depository libraries can anticipate demands for their services. Since it is a fairly obvious truism that documents collections are dead without services and that services depend upon librarians, now is the time to orchestrate a concentrated effort for more government recognition and user support. Depository librarians represent not only an intermediary role linking Federal information with local needs, but also an active enhancing role that may be measured in economic terms.

This suggestion for study on the part of the depository library community is twofold:

A. Initiate an analysis of the entire information process from the production of a Federal document to its active use in a depository library. All steps where a professional librarian must be involved in order to render information "hidden" in a document usable should be identified and an effort should be made to apply methods of costing to the librarian's time and professional assistance. That "the librarian understands the dynamics of information" has not escaped management's eye.[2] Peter Drucker sees the librarian as a unique factor in the information transfer process and has characterized a particular special ability of librarians as the "information-focused mind":

"The librarian . . . knows what . . . [the user] is really groping for and hears it. The process is very hard to define but . . . a good librarian has this ability . . . the librarian is actually a catalyst who converts data into information . . . Without this kind of human input much [of the data on the shelves] will never come to the attention of the library's individual and collective publics."[3]

B. Analyze the Federal information use process in depository libraries for steps where information technologies (microfiche reader-printers, fiche-to-fiche duplicator, etc.) have to be applied in order to render the Federal information usable. These steps should be identified and costed to determine the extent to which depository libraries must invest in the technologies necessary to make Federal information viable and useful.

On the basis of these further studies, it is possible that the Federal government might be pursuaded to redefine the concept of "free" Federal information for the public and reassess the need for Federal funding to ensure that the Federal depository library system effectively fulfills its role in the information transfer process.

[1]U.S. Congress. Joint Committee on Printing. Analysis and evaluation of selected Government Printing Office Operations by Coopers and Lybrand, Independent Consulting Firm, Washington, D.C. G.P.O., 1979 (Committee Print)

[2]Peter F. Drucker, "Managing the Public Service Institution," College and Research Libraries 37 (January, 1976), p.13.

[3]Drucker, p.6.

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APPENDIX A.

FEDERAL DEPOSITORY LIBRARIES BY REFERENCE AND RESEARCH LIBRARY RESOURCE COUNCIL AREAS

CAPITAL DISTRICT LIBRARY COUNCIL: Counties of Albany, Fulton, Hamilton, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, Warren and Washington

Federal Depository Libraries: (6)

Albany Law School Library, Albany, DS 421B, Albany County
New York State Library, Albany, DR 387, Albany County
Skidmore College Library, Saratoga Springs, DS 420, Saratoga County
SUNY at Albany, University Library, Albany, DS 421A, Albany County
Troy Public Library, Troy, DS 420A, Rensselaer County
Union College Library, Schenectady, DS 421, Schenectady County

CENTRAL NEW YORK LIBRARY RESOURCES COUNCIL: Counties of Herkimer, Madison, Oneida and Onondaga

Federal Depository Libraries: (6)

Colgate University Library, Hamilton, DS 423, Madison County
Onondaga County Public Library, Syracuse, DS 431A, Onondaga County
SUNY College of Technology Library, Utica, DS 424A, Oneida County
Syracuse University Library, Syracuse, DS 426, Onondaga County
Syracuse University School of Law Library, Syracuse, DS 389A, Onondaga County
Utica Public Library, Utica, DS 424, Oneida County

LONG ISLAND LIBRARY RESOURCES COUNCIL, INC: Counties of Nassau and Suffolk

Federal Depository Libraries: (11)

Adelphi University Library, Garden City, DS 390A, Nassau County
C.W. Post Center Library, Long Island University, Greenvale, DS 395, Nassau County
Dowling College Library, Oakdale, DS 394A, Suffolk County
East Islip Public Library, East Islip, DS 394B, Suffolk County
Hofstra University Library, Hempstead, DS 427, Nassau County
Hofstra University, School of Law Library, Hempstead, DS 393B, Nassau County
Nassau Library System, Uniondale, DS 427A, Nassau County
Southampton College Library, Southampton, DS 395B, Suffolk County
SUNY Agricultural & Technical College Library, Farmingdale, DS 392, Nassau County
SUNY at Stony Brook Library, Stony Brook, DS 394, Suffolk County
US Merchant Marine Academy Library, Kings Point, DS 400, Nassau County

NEW YORK METROPOLITAN REFERENCE AND RESEARCH LIBRARY AGENCY, INC: Consists of New York City, including all boroughs, and Westchester County

Federal Depository Libraries: (40)

Brooklyn College Library, Brooklyn, DS 397, Kings
Brooklyn Law School Library, Brooklyn, DS 396B, Kings
Brooklyn Public Library, Brooklyn, DS 398, Kings
Cathedral College Library, Douglaston, DS 395A, Queens
City College Library, New York, DS 412, Manhattan
CUNY Law School at Queens College, Flushing, DS 413, Queens
College of Insurance Library, New York, DS 402A, Manhattan
Columbia University Libraries, New York, DS 410, Manhattan
Columbia University, School of Law Library, New York, DS 405A, Manhattan
Cooper Union Library, New York, DS 405, Manhattan
F.H. LaGuardia Community College Library, Long Island City, DS 409A, Queens
Fordham University Library, Bronx, DS 414, Bronx
Herbert H. Lehman College Library, Bronx, DS 390C, Bronx
Medical Library Center of NY, New York, DS 412A, Manhattan
Mercy College Library, Yorktown Heights, DS 436B, Westchester County
Mount Vernon Public Library, Mount Vernon, DS 419, Westchester County
New York Law Institute Library, New York, DS 402, Manhattan
New York Law School Library, New York, DS 426A, Manhattan
New York Public Library (Astor Branch), New York, DS 408, Manhattan
New York Public Library (Lenox Branch), New York, DS 408A, Manhattan
New York Public Library (Mott Haven Branch), Bronx, DS 411, Bronx
New York University, Law Library, New York, DS 390, Manhattan
New York University Libraries, New York, DS 390B, Manhattan
Pace University, School of Law Library, White Plains, DS 400A, Westchester County
Polytechnic Institute Library of New York, Brooklyn, DS 396A, Kings
Pratt Institute Library, Brooklyn, DS 396, Kings
Queens Borough Public Library, Jamaica, DS 393, Queens
Queens College Library, Flushing, DS 435, Queens
Queensborough Community College Library, Bayside, DS 418, Queens County
St. John's University Libraries, Jamaica, DS 401, Queens
St. John's University, School of Law Library, Jamaica, DS 393A, Queens
Sarah Lawrence College Library, Bronxville, DS 415A, Westchester County
SUNY College at Purchase Library, Purchase, DS 419A, Westchester County
SUNY Downstate Medical Research Library, Brooklyn, DS 404, Kings County
SUNY Maritime College Library, Bronx, DS 416, Bronx
US Court of Appeals, Second Circuit Library, New York, DS 1041, Manhattan
Wagner College Library, Staten Island, DS 409, Staten Island
Yeshiva University, Pollack Library, New York, DS 410A, Manhattan
Yeshiva University, Cardozo School of Law Library, New York, DS 411A, Manhattan
Yonkers Public Library, (Getty Square Branch) Yonkers, DS 415, Westchester County

NORTH COUNTRY REFERENCE AND RESEARCH RESOURCES COUNCIL: Counties of Clinton, Essex, Franklin, Jefferson, Lewis, Oswego and St. Lawrence

Federal Depository Libraries: (5)

Clarkson College of Technology Library, Potsdam, DS 422, St. Lawrence County
St. Lawrence University Library, Canton, DS 391, St. Lawrence County
SUNY College at Oswego Library, Oswego, DS 391A, Oswego County
SUNY College at Plattsburgh Library, Plattsburgh, DS 420A, Clinton County
SUNY College at Potsdam Library, Potsdam, DS 422A, St. Lawrence County

ROCHESTER REGIONAL RESEARCH LIBRARY COUNCIL: Counties of Livingston, Monroe, Ontario, Wayne and Wyoming

Federal Depository Libraries: (4)

Rochester Public Library, Rochester, DS 429A, Monroe County
SUNY College at Brockport Library, Brockport, DX 430A, Monroe County
SUNY College at Geneseo Library, Geneseo, DS 430, Livingston County
University of Rochester Library, Rochester, DS 429, Monroe County

SOUTH CENTRAL RESEARCH LIBRARY COUNCIL: Counties of Allegany, Broome, Cayuga, Chemung, Chenango, Cortland, Delaware, Otsego, Schuyler, Seneca, Steuben, Tioga, Tompkins and Yates

Federal Depository Libraries: (10)

Cornell University Libraries, Ithaca, DS 388, Tompkins County
Cornell University, School of Law Library, Ithaca, DS 435A, Tompkins County
Corning Community College Library, Corning, DS 434A, Steuben County
Elmira College, Grannett-Tripp Learning Center, Elmira, DS 425, Chemung County
New York State College of Agriculture and Life Sciences and College of Human Ecology Library at Cornell University, Ithaca, DS 428, Tompkins County
Seymour Library Association, Auburn, DS 431, Cayuga County
SUNY Agricultural and Technical College Library, Delhi, DS 417A, Delaware County
SUNY at Binghamton Library, Binghamton, DS 425A, Broome County
SUNY College at Cortland Library, Cortland, DS 299, Cortland County
SUNY College at Oneonta Library, Oneonta, DS 399A, Otsego County

SOUTHEASTERN NEW YORK LIBRARY RESOURCES COUNCIL: Counties of Columbia, Dutchess, Green, Orange, Putnam, Rockland, Sullivan and Ulster

Federal Depository Libraries: (4)

Newburgh Free Library, Newburgh, DS 417, Orange County
SUNY College at New Paltz Library, New Paltz, DS 436A, Ulster County
US Military Academy Library, West Point, DS 389, Orange County
Vassar College Library, Poughkeepsie, DS 436, Dutchess County

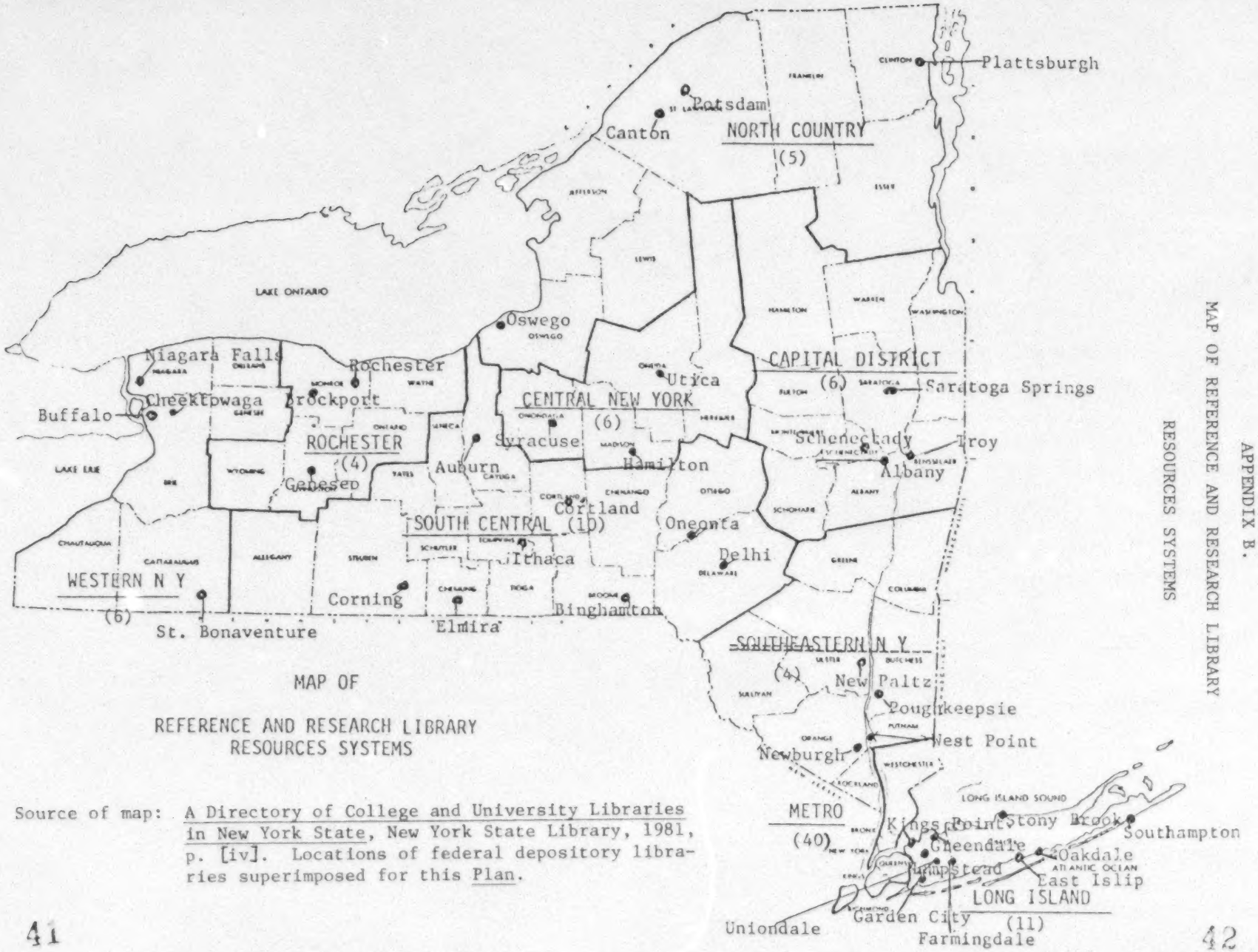
WESTERN NEW YORK LIBRARY RESOURCES COUNCIL: Counties of Cattaraugus, Chautauqua, Erie, Genesee, Niagara and Orleans

Federal Depository Libraries: (6)

Buffalo and Erie County Public Library, Buffalo, DS 432, Erie County
Cheektowaga Public Library, Cheektowaga, DS 388A, Erie County
Niagara Falls Public Library, Niagara Falls, DS 430B, Niagara County
St. Bonaventure University Library, St. Bonaventure, DS 434, Cattaraugus County
SUNY at Buffalo, Charles B. Sears Law Library, Buffalo, DS 400B, Erie County
SUNY at Buffalo, Lockwood Memorial Library, Buffalo, DS 433, Erie County

APPENDIX B.

MAP OF REFERENCE AND RESEARCH LIBRARY RESOURCES SYSTEMS



MAP OF

REFERENCE AND RESEARCH LIBRARY
RESOURCES SYSTEMS

Source of map: A Directory of College and University Libraries in New York State, New York State Library, 1981, p. [iv]. Locations of federal depository libraries superimposed for this Plan.

APPENDIX C. LAWS IN FORCE RELATING TO GOVERNMENT DEPOSITORY LIBRARIES

(Source: Government Depository Libraries: The Present Law Governing Designated Depository Libraries, Joint Committee Print of the Joint Committee on Printing, U. S. Government Printing Office, revised July, 1982, pp. 6-11).

Section II.—Laws in Force Relating to Government Depository Libraries and Distribution, Binding, and Indexing of Public Documents

(Extract From Public Law 90-620)

90TH CONGRESS, H.R. 18612

October 22, 1968

To enact title 44, United States Code, "Public Printing and Documents," codifying the general and permanent laws relating to public printing and documents.

* * * * * * *

Chapter 19—DEPOSITORY LIBRARY PROGRAM

* * * * * * *

§ 1901. Definition of government publication

"Government publication" as used in this chapter, means informational matter which is published as an individual document at Government expense, or as required by law.

§ 1902. Availability of Government publications through Superintendent of Documents; lists of publications not ordered from Government Printing Office

Government publications, except those determined by their issuing components to be required for official use only for strictly administrative or operational purposes which have no public interest or educational value and publications classified for reasons of national security, shall be made available to depository libraries through the facilities of the Superintendent of Documents for public information. Each component of the Government shall furnish the Superintendent of Documents a list of such publications it issued during the previous month, that were obtained from sources other than the Government Printing Office.

§ 1903. Distribution of publications to depositories; notice to Government components; cost of printing and binding

Upon request of the Superintendent of Documents, components of the Government ordering the printing of publications shall either increase or decrease the number of copies of publications furnished for distribution to designated depository libraries and State libraries so that the number of copies delivered to the Superintendent of Documents is equal to the number of libraries on the list. The number thus delivered may not be restricted by any statutory limitation in force on August 9, 1962. Copies of publications furnished the Superintendent of Documents for distribution to designated depository libraries shall include—

the journals of the Senate and House of Representatives;

all publications, not confidential in character, printed upon the requisition of a congressional committee;

and reports on private bills, concurrent or simple resolutions; Senate and House public bills and resolutions;

but not so-called cooperative publications which must necessarily be sold in order to be self-sustaining.

The Superintendent of Documents shall currently inform the components of the Government ordering printing of publications as to the number of copies of their publications required for distribution to depository libraries. The cost of printing and binding those publications distributed to depository libraries obtained elsewhere than from the Government Printing Office, shall be borne by components of the Government responsible for their issuance: those requisitioned

from the Government Printing Office shall be charged to appropriations provided the Superintendent of Documents for that purpose.

§ 1904. Classified list of Government publications for selection by depositories

The Superintendent of Documents shall currently issue a classified list of Government publications in suitable form, containing annotations of contents and listed by item identification numbers to facilitate the selection of only those publications needed by depository libraries. The selected publications shall be distributed to depository libraries in accordance with regulations of the Superintendent of Documents, as long as they fulfill the conditions provided by law.

§ 1905. Distribution to depositories; designation of additional libraries; justification; authorization for certain designations

The Government publications selected from lists prepared by the Superintendent of Documents, and when requested from him, shall be distributed to depository libraries specifically designated by law and to libraries designated by Senators, Representatives, and the Resident Commissioner from Puerto Rico, by the Commissioner of the District of Columbia, and by the Governors of Guam, American Samoa, and the Virgin Islands, respectively. Additional libraries within areas served by Representatives or the Resident Commissioner from Puerto Rico, may be designated by them to receive Government publications to the extent that the total number of libraries designated by them does not exceed two within each area. Not more than two additional libraries within a State may be designated by each Senator from the State. Before an additional library within a State, congressional district or the Commonwealth of Puerto Rico is designated as a depository for Government publications, the head of that library shall furnish his Senator, Representative, or the Resident Commissioner from Puerto Rico, as the case may be, with justification of the necessity for the additional designation. The justification, which shall also include a certification as to the need for the additional depository library designation, shall be signed by the head of every existing depository library within the congressional district or the Commonwealth of Puerto Rico or by the head of the library authority of the State or the Commonwealth of Puerto Rico, within which the additional depository library is to be located. The justification for additional depository library designations shall be transmitted to the Superintendent of Documents by the Senator, Representative, or the Resident Commissioner from Puerto Rico, as the case may be. The Commissioner of the District of Columbia may designate two depository libraries in the District of Columbia, the Governor of Guam and the Governor of American Samoa may each designate one depository library in Guam and American Samoa, respectively, and the Governor of the Virgin Islands may designate one depository library on the island of Saint Thomas and one on the island of Saint Croix.

§ 1906. Land-grant colleges constituted depositories

Land-grant colleges are constituted depositories to receive Government publications subject to the depository laws.

§ 1907. Libraries of executive departments, service academies, and independent agencies constituted depositories; certifications of need; disposal of unwanted publications

The libraries of the executive departments, of the United States Military Academy, of the United States Naval Academy, of the United States Air Force Academy, of the United States Coast Guard Academy, and of the United States Merchant Marine Academy are designated depositories of Government publications. A depository library within each independent agency may be designated—upon certification of need—by the head of the independent agency to the Superintendent of Documents. Additional depository libraries within executive departments and independent agencies may be designated to receive Government publications to the extent that the number so designated does not exceed the number of major bureaus or divisions of the departments and independent agencies. These designations may be made only after certification by the head of each executive department or independent agency to the Superintendent of Documents as to the justifiable need for additional depository libraries. Depository libraries within executive departments and independent agencies may dispose of unwanted Government publications after first offering them to the Library of Congress and the Archivist of the United States.

§ 1908. American Antiquarian Society to receive certain publications

One copy of the public journals of the Senate and of the House of Representatives, and of the documents published under the orders of the Senate and House of Representatives, respectively, shall be transmitted to the Executive of

the Commonwealth of Massachusetts for the use and benefit of the American Antiquarian Society of the Commonwealth.

§ 1909. Requirements of depository libraries; reports on conditions; investigations; termination; replacement

Only a library able to provide custody and service for depository materials and located in an area where it can best serve the public need, and within an area not already adequately served by existing depository libraries may be designated by Senators, Representatives, the Resident Commissioner from Puerto Rico, the Commissioner of the District of Columbia, or the Governors of Guam, American Samoa, or the Virgin Islands as a depository of Government publications. The designated depository libraries shall report to the Superintendent of Documents at least every two years concerning their condition.

The Superintendent of Documents shall make firsthand investigation of conditions for which need is indicated and include the results of investigations in his annual report. When he ascertains that the number of books in a depository library is below ten thousand, other than Government publications, or it has ceased to be maintained so as to be accessible to the public, or that the Government publications which have been furnished the library have not been properly maintained, he shall delete the library from the list of depository libraries if the library fails to correct the unsatisfactory conditions within six months. The Representative or the Resident Commissioner from Puerto Rico in whose area the library is located or the Senator who made the designation, or a successor of the Senator, and, in the case of a library in the District of Columbia, the Commissioner of the District of Columbia, and, in the case of a library in Guam, American Samoa, or the Virgin Islands, the Governor, shall be notified and shall then be authorized to designate another library within the area served by him, which shall meet the conditions herein required, but which may not be in excess of the number of depository libraries authorized by law within the State, district, territory, or the Commonwealth of Puerto Rico, as the case may be.

§ 1910. Designations of replacement depositories; limitations on numbers; conditions

The designation of a library to replace a depository library, other than a depository library specifically designated by law, may be made only within the limitations on total numbers specified by section 1905 of this title, and only when the library to be replaced ceases to exist, or when the library voluntarily relinquishes its depository status, or when the Superintendent of Documents determines that it no longer fulfills the conditions provided by law for depository libraries.

§ 1911. Free use of Government publications in depositories; disposal of unwanted publications

Depository libraries shall make Government publications available for the free use of the general public, and may dispose of them after retention for five years under section 1912 of this title, if the depository library is served by a regional depository library. Depository libraries not served by a regional depository library, or that are regional depository libraries themselves, shall retain Government publications permanently in either printed form or in microfacsimile form, except superseded publications or those issued later in bound form which may be discarded as authorized by the Superintendent of Documents.

§ 1912. Regional depositories; designation; functions; disposal or publications

Not more than two depository libraries in each State and the Commonwealth of Puerto Rico may be designated as regional depositories, and shall receive from the Superintendent of Documents copies of all new and revised Government publications authorized for distribution to depository libraries. Designation of regional depository libraries may be made by a Senator or the Resident Commissioner from Puerto Rico within the areas served by them, after approval by the head of the library authority of the State or the Commonwealth of Puerto Rico, as the case may be, who shall first ascertain from the head of the library to be so designated that the library will, in addition to fulfilling the requirements for depository libraries, retain at least one copy of all Government publications either in printed or microfacsimile form (except those authorized to be discarded by the Superintendent of Documents); and within the region served will provide interlibrary loan, reference service, and assistance for depository libraries in the disposal of unwanted Government publications. The agreement to function as a regional depository library shall be transmitted to the Superintendent of Documents by the Senator or the Resident Commissioner from Puerto Rico when the designation is made.

The libraries designated as regional depositories may permit depository libraries, within the areas served by them, to dispose of Government publications which they have retained for five years after first offering them to other depository libraries within their area, then to other libraries.

§ 1913. Appropriations for supplying depository libraries; restriction

Appropriations available for the Office of Superintendent of Documents may not be used to supply depository libraries documents, books, or other printed matter not requested by them, and their requests shall be subject to approval by the Superintendent of Documents.

§ 1914. Implementation of depository library program by Public Printer

The Public Printer, with the approval of the Joint Committee on Printing, as provided by section 103 of this title, may use any measures he considers necessary for the economical and practical implementation of this chapter.

§ 1915. Highest State appellate court libraries as depository libraries

Upon the request of the highest appellate court of a state, the Public Printer is authorized to designate the library of that court as a depository library. The provisions of section 1911 of this title shall not apply to any library so designated.

(Added Pub. L. 92-368, August 10, 1972, 82 Stat. 1283.)

§ 1916. Designation of libraries of accredited law schools as depository libraries

(a) Upon the request of any accredited law school, the Public Printer shall designate the library of such law school as a depository library. The Public Printer may not make such designation unless he determines that the library involved meets the requirements of this chapter, other than those requirements of the first undesignated paragraph of section 1909 of this title which relate to the location of such library.

(b) For purposes of this section, the term "accredited law school" means any law school which is accredited by a nationally recognized accrediting agency or association approved by the Commissioner of Education for such purpose or accredited by the highest appellate court of the State in which the law school is located.

(Added Pub. L. 95-261, April 17, 1978, 92 Stat. 199.)

DISTRICT OF COLUMBIA PUBLIC LIBRARY LAW

Chapter 243. An Act to designate the Public Library of the District of Columbia a public depository for governmental publications.—*Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,* That the Public Library of the District of Columbia is hereby constituted a designated depository of government publications and the Superintendent of Documents shall supply to such library one copy of each such publication in the same form as supplied to other designated depositories.

(Added Pub. L. 78-153, September 28, 1943, 57 Stat. 568.)

Chapter 7—CONGRESSIONAL PRINTING AND BINDING

§ 701. "Usual number" of documents and reports; distribution of House and Senate documents and reports; binding; reports on private bills; number of copies printed; distribution

* * * * * * *

(c) Of the number printed, the Public Printer shall bind a sufficient number of copies for distribution as follows:

Of the House documents and reports, bound—to the Senate library, fifteen copies; to the Library of Congress, not to exceed one hundred and fifty copies, as provided by section 1718 of this title; to the House of Representatives library, fifteen copies; to the Superintendent of Documents, as many copies as are required for distribution to the State libraries and designated depositories.

Of the Senate documents and reports, bound—to the Senate library, fifteen copies; to the Library of Congress, copies as provided by sections 1718 and 1719 of this title; to the House of Representatives library, fifteen copies; to the Superintendent of Documents, as many copies as may be required for distribution to State libraries and designated depositories. In binding documents the Public Printer shall give precedence to those that are to be distributed to libraries and

to designated depositories. But a State library or designated depository entitled to documents that may prefer to have its documents in unbound form, may do so by notifying the Superintendent of Documents to that effect prior to the convening of each Congress.

§ 719. Classification and numbering of publications ordered printed by Congress; designation of publications of departments; printing of committee hearings

Publications ordered printed by Congress, or either House, shall be in four series, namely:

one series of reports made by the committees of the Senate, to be known as Senate reports;

one series of reports made by the committees of the House of Representatives, to be known as House reports;

one series of documents other than reports of committees, the orders for printing which originate in the Senate, to be known as Senate documents, and

one series of documents other than committee reports, the orders for printing which originate in the House of Representatives, to be known as House documents.

The publications in each series shall be consecutively numbered, the numbers in each series continuing in unbroken sequence throughout the entire term of a Congress, but these provisions do not apply to the documents printed for the use of the Senate in executive session. Of the "usual number", the copies which are intended for distribution to State libraries and other designated depositories of annual or serial publications originating in or prepared by an executive department, bureau, office, commission, or board may not be numbered in the document or report series of either House of Congress, but shall be designated by title and bound as provided by section 738 of this title; and the departmental edition, if any, shall be printed concurrently with the "usual number". Hearings of committees may be printed as congressional documents only when specifically ordered by Congress or either House.

§ 738. Binding of publications for distribution of libraries

The Public Printer shall supply the Superintendent of Documents with sufficient copies of publications distributed in unbound form to be bound and distributed to the State libraries and other designated depositories for their permanent files. Every publication of sufficient size on any one subject shall be bound separately and receive the title suggested by the subject of the volume and the others shall be distributed in unbound form as soon as printed. The library edition as well as all other bound sets of congressional numbered documents and reports shall be arranged in volumes and bound in the manner directed by the Joint Committee on Printing.

Chapter 9—CONGRESSIONAL RECORD

§ 906. Congressional Record gratuitous copies; delivery; subscriptions

The Public Printer shall furnish the Congressional Record only as follows:

* * * * * * *

to the Superintendent of Documents as many daily and bound copies as may be required for distribution to depository libraries.

* * * * * * *

Chapter 17—DISTRIBUTION AND SALE OF PUBLIC DOCUMENTS

§ 1710. Index of documents: number and distribution.

The Superintendent of Documents, at the close of each regular session of Congress, shall prepare and publish a comprehensive index of public documents, upon a plan approved by the Joint Committee on Printing. The Public Printer shall, immediately upon its publication, deliver to him a copy of every document printed by the Government Printing Office. The head of each executive department, independent agency and establishment of the Government shall deliver to him a copy of every document issued or published by the department, bureau, or office not confidential in character. He shall also prepare and print in one volume a consolidated index of Congressional documents, and shall index single volumes of documents as the Joint Committee on Printing directs. Two thousand copies each of the comprehensive index and of the consolidated index

shall be printed and bound in addition to the usual number, two hundred for the Senate, eight hundred for the House of Representatives and one thousand for distribution by the Superintendent of Documents. (Pub. L. 90-620, Oct. 22, 1968, 82 Stat. 1280.)

§ 1711. Catalog of Government publications.

On the first day of each month the Superintendent of Documents shall prepare a catalog of Government publications which shall show the documents printed during the preceding month, where obtainable, and the price. Two thousand copies of the catalog shall be printed in pamphlet form for distribution. (Pub. L. 90-620, Oct. 22, 1968, 82 Stat. 1280.)

97-449 O—82——2

APPENDIX D

PROFILE OF NEW YORK STATE FEDERAL DOCUMENTS DEPOSITORY LIBRARIES

BASED ON THE SUPERINTENDENT OF DOCUMENTS
BIENNIAL REPORT OF DEPOSITORY LIBRARIES
JANUARY 1982

To assist the Task Force on Federal Depository Service in New York State, the New York State Library requested each federal documents depository library in the state to send copies of its completed Government Printing Office biennial report questionnaire (dated January 1982) to the State Library. Results were to be used to assemble data on resource strengths and services in the nine reference and research library resource regions and for the state as a whole. *

Of the 117 questions on the GPO questionnaire, 50 were selected for highlighting in the partial reprint of the survey on pages 57 through 64 of this document; 32 of the questions are discussed on pages 49 through 56. The narrative follows the order of the questions on the questionnaire.

This Profile is based on the responses of the 79 depository libraries in New York State which supplied copies of their surveys. Because some questions were not answered by all libraries, the number of respondents is indicated for each question.

*City University of New York Law School at Queens College did not become a Federal depository until February of 1983 and consequently was not included in the 1982 biennial survey.

GENERAL INFORMATION (Questions 10, 14, 15, 16)

Type of library (Question 10)

Of the 79 respondents, 48 (61 percent) indicated they were primarily academic libraries.[1] Another 17 (22 percent) are public libraries.[2] The remaining 17 percent of the depositories include nine law libraries, two medical libraries, two federal libraries, one court library, and one state library agency.

Collections (Questions 14, 15, 16)

Federal documents holdings of the 79 depository libraries range from fewer than 10,000 (ten libraries) to more than 1,000,000 (one library); nine libraries are unable to determine the size of their documents collections.[3] Holdings (Question 14) are illustrated below in Figure 1:

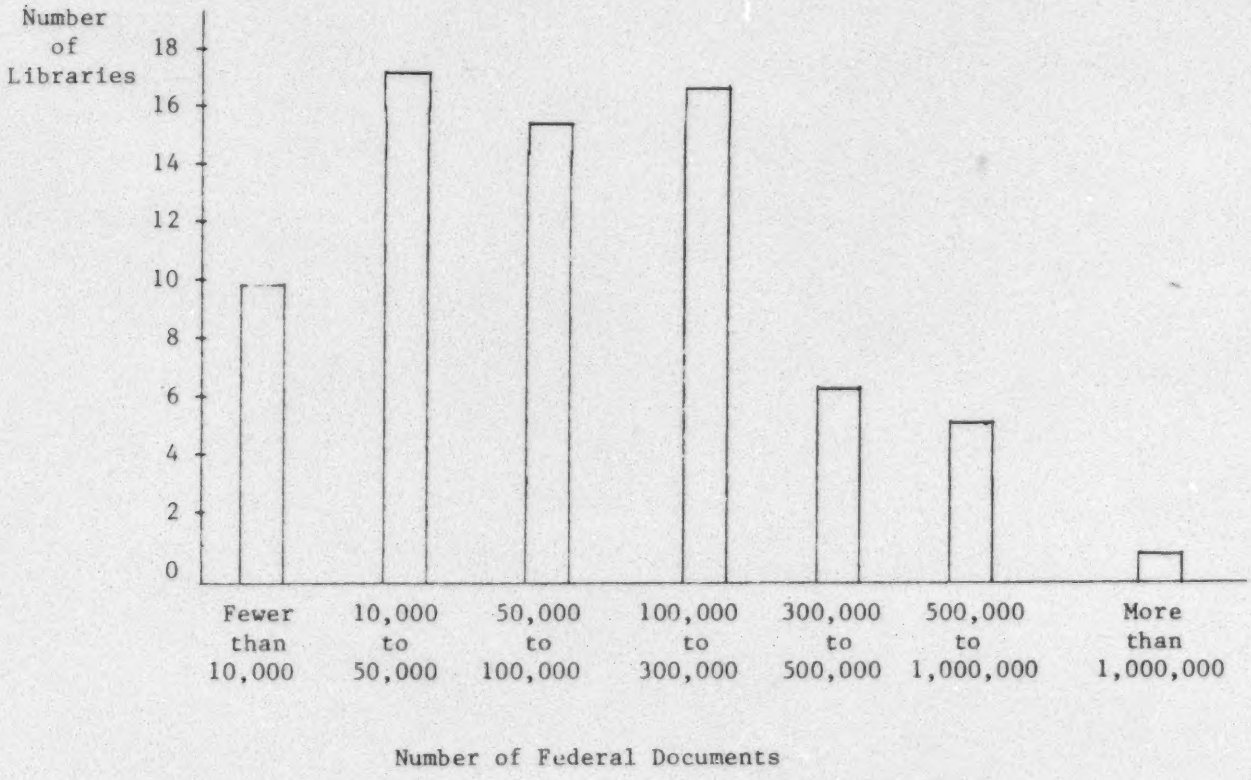


Figure 1. Federal Documents Holdings of Depository Libraries in New York State

New York residents also have access to other federal agency publications through these libraries (Question 15). 27 of the 79 depositories indicated that they are also depositories for other programs; titles and numbers are listed below (totals are greater than 27 because some libraries are depositories for more than one program):

Program	Number of Depository Libraries
USGS maps	19
NASA	9
Defense Mapping Agency Maps	7
National Ocean Survey Maps	5
Patent Office	4
Census	4
Energy	3
EPA	1
Federal Reserve System	1
SCAN (Administration on Aging)	1
HUD 701 reports	1

All but one of the 79 answered question 16 on item number selection; percentages range from a high of 100% (one library) to a low of under ten percent (eight libraries).[4] The greatest number of libraries (25) select from 10 to 24% of the approximately 5000 item numbers available for selection. Figure 2 shows the range of item selection:

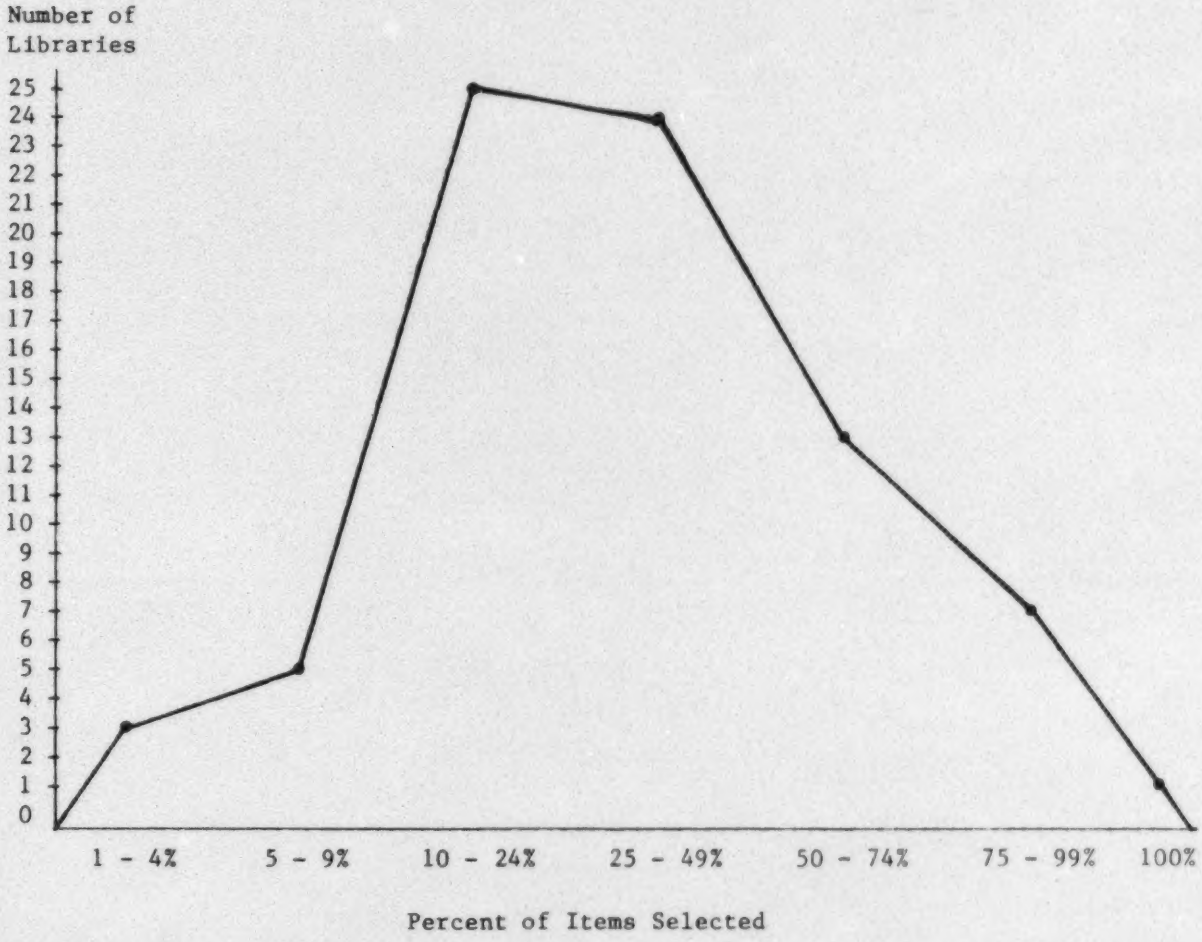


Figure 2. Percent of Depository Items Selected by Depository Libraries in New York State

ACCESSIBILITY AND HOUSING (Questions 18, 21, 25, 37, 38, 39)

Access

Depository libraries make depository documents accessible to a wide range of users. Of the 77 libraries that responded to Question 18 (Who can gain access to the depository documents?), 75 said that anyone can gain access to the material. 11 academic libraries (including eight of those responding that everyone has access to the documents), said that special procedures are required for those without an appropriate library card.

There is more variation in the type of access to documents. Of the 78 respondents to Question 21 (kind of access), 59% or 46 libraries (three public, 42 academic, and one court) allow unqualified access to the stacks; in the other libraries stack access is prohibited or limited. In five libraries, it is necessary for patrons to call ahead before coming so that the staff can alert a guard to admit them to the building.

Housing

The question on housing of documents (Number 25) included many overlapping categories; respondents were asked to check all that apply to their library. The two mutually exclusive categories that most generally describe documents housing are a) Most depository materials are in a separate unit in the library and b) Most depository materials are integrated throughout the library. Of the 70 libraries which answered either a) or b) but not both, 48 (69%) indicated that their documents are housed separately; 22 (31%) said that they integrated their documents.

Adequacy of space varies with the format of the material. All 79 libraries answered the questions on space, and about 80 percent of them indicated that they have sufficient space for both the hard copy and the microfiche documents they wish to select from GPO during the next two years (Questions 37 and 38); the figure dropped to 56 percent for maps. (Question 39).

RECORDING AND PROCESSING (Questions 50, 52, 54, 58)

Cataloging

Among the 77 libraries which answered Question 50 (percentage of documents cataloged by the library), the answers ranged from none (one library) to 100% (seven libraries). The range of responses is shown in Figure 3:

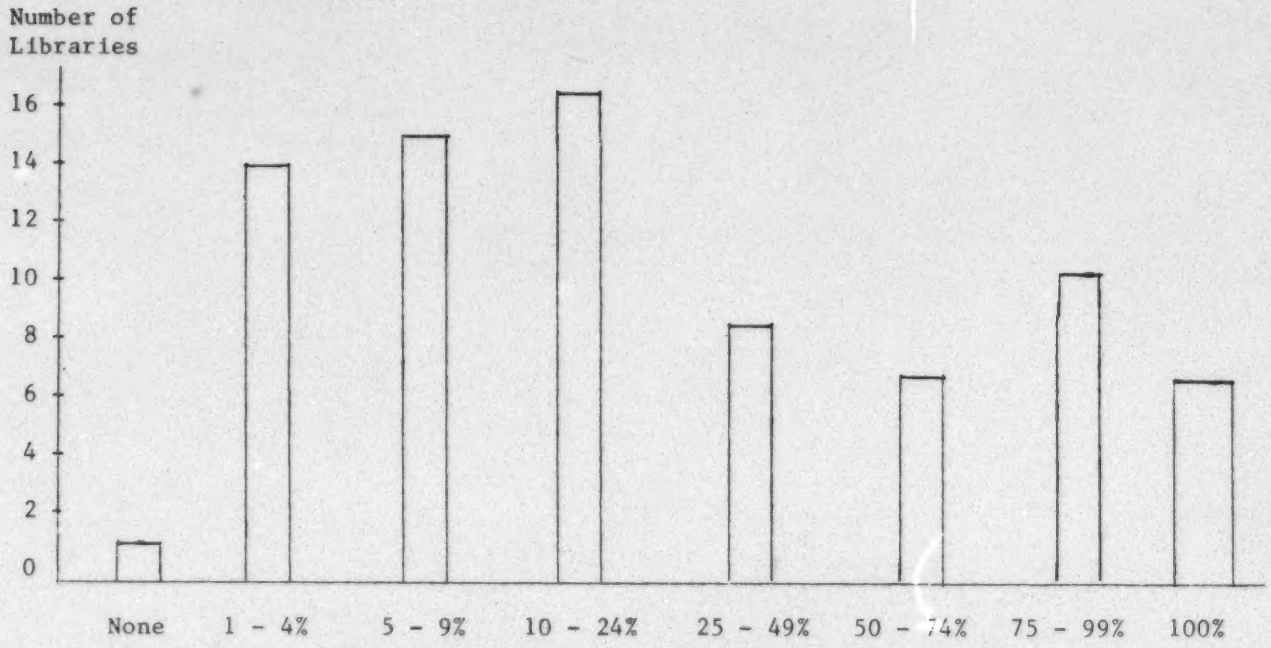


Figure 3. Percentage of Documents Cataloged by Depository Libraries in New York State

The use of bibliographic utilities for cataloging documents is widespread (Question 52); of these, OCLC is by far the most common. Among the 79 respondents, 59 (75%) use OCLC; all but one use no other bibliographic utility. The next largest category is RLIN; eight libraries report that they use that utility and no other.[5] Only nine use no bibliographic utility. Details appear below:

Utility	Number of libraries
OCLC	55
RLIN	9[5]
NYPL MILCS	1

Access to documents through the library's card catalog or its equivalent varies (Question 54). Answers of the 78 respondents to this question are as follows:

Percentage in catalog	Number of libraries
75 to 100 percent	14
50 to 74 percent	10
25 to 49 percent	8
10 to 24 percent	17
1 to 9 percent	28
None	1

Depository libraries use a mixture of classification systems. Reliance on only one scheme is very unusual; most libraries use two or more systems (Question 58).[6] The most common scheme is the Superintendent of Documents classification system: only nine libraries say that they put none of their holdings into SuDocs. Figure 4 shows the percentages of documents classified in each system (beginning with 1 to 10 percent):

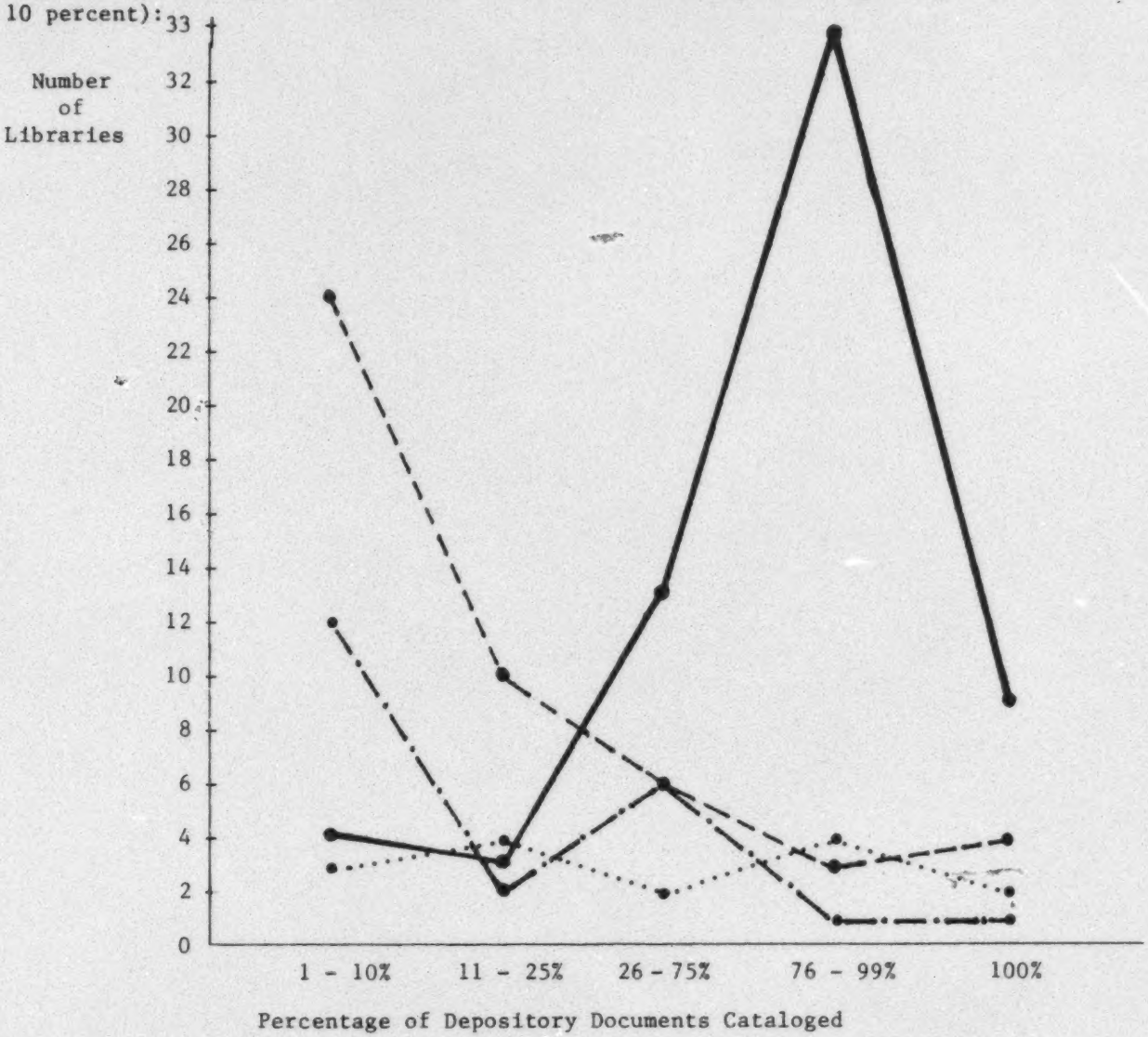


Figure 4. Percentage of Depository Documents Cataloged by Classification System in Depository Libraries in New York State

SERVICE AND USAGE (Questions 67, 74, 75, 77, 78, 84, 86, 88, 89, 90, 91, 92, 93)

Reference

Reference hours in 78 depositories (Question 67) range from fewer than 40 hours per week (eight libraries) to between 91 and 120 hours per week (seven libraries). Most libraries (44) offer between 61 and 90 hours per week; 19 give between 41 and 60 hours of reference service each week.

All 79 respondents answered Question 74 (adequacy of commercial reference indexes); 71 (90%) felt that they had adequate commercial reference indexes to facilitate the use of depository documents, while only eight (10%) did not.

Online data base searches are available for patrons using depository documents (Question 75) in 47 (60%) of the 79 respondents' libraries, but not in the other 32 (40%).[7]

Circulation

Circulation policies for documents vary greatly (Question 77). 45 (58%) of the 78 respondents to this question allow at least three quarters of their documents to be checked out; 23 of these permit 100% (except for a few reference tools) to circulate. On the other hand, eleven libraries do not circulate any federal documents. Figure 5 illustrates circulation policies:

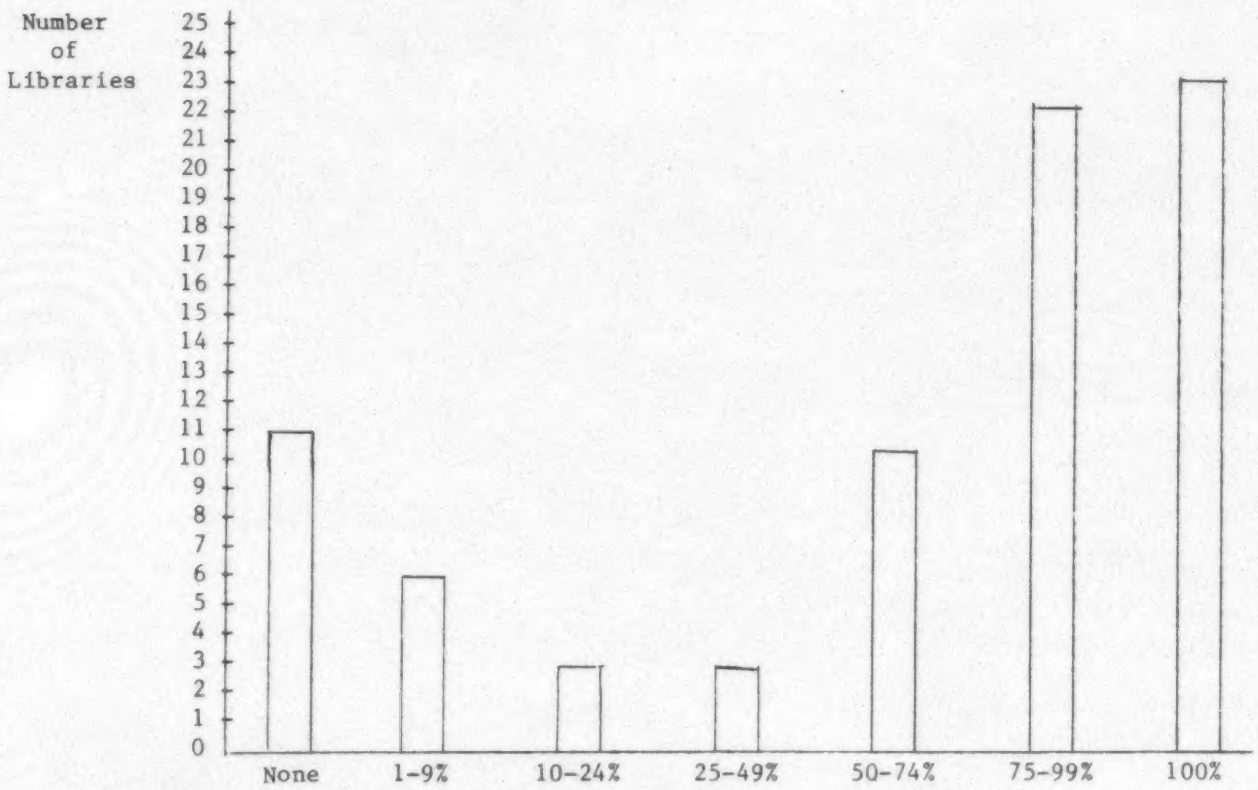


Figure 5. Circulation Policies of Depository Libraries in New York State

Of the 63 libraries which answered Question 78 (Who may check out documents?), 35 (56%) circulate documents to anyone in the community and 26 (41%) serve only the primary clientele of the library. In seven libraries, decisions to circulate documents are made on an individual basis depending on the patron's needs.

Most depository libraries have consistent interlibrary loan and circulation policies for documents (Question 84). 60 of 71 libraries (85%) check out documents consistently for circulation and interlibrary loan. Six libraries circulate more to their own users than to someone on interlibrary loan; six libraries follow just the opposite practice.

Backup

Depository libraries tend to rely on other depositories within their region for reference help and backup collections (Question 86). Of the 76 respondents, 36 (47%) rely exclusively on other selectives; another 12 (16%) consult both selectives and the regional. Only eight libraries (11%) listed only the New York State Library as their primary backup. 20 libraries (26%) list no backup, responding that they do not rely on any other library very often.

Microform

Access to microform equipment is important in depository libraries. Of the 77 libraries that answered questions on microfiche readers (Questions 88 and 89), 75 (more than 96%) indicated the depository staff has easy access to at least one microfiche reader (Question 88). 74 libraries said there were a sufficient number of workable microfiche readers to serve the depository microfiche (Question 89). The percentages drop slightly for microfiche reader-printers (Questions 90 and 91). Of the 79 respondents, 68 (86%) say the depository staff has easy access to at least one microfiche reader-printer (Question 90). 61 of the 79 libraries (77%) believe that there is an adequate number of workable reader-printers to serve depository microfiche (Question 91). There is quite a different situation for fiche-to-fiche duplicators (Questions 92 and 93): 56 of 79 libraries (71%) report that there is no fiche-to-fiche duplicator available in the library (Questions 92 and 93). Patrons can get copies of microfiche on the fiche-to-fiche duplicator in only 17 (22%) of 79 libraries (Question 93).

STAFFING AND BUDGET (101, 102, 103, 105)

The answers to the questions on adequacy staffing (Questions 101, 102, 103) show that over 70% of the respondents believe they have sufficient professional, support, and stack staff to care for the depository documents and to perform public and technical services. In the matter of training (Question 105), only 20 (26%) of the 78 respondents to the question said that their documents staff needs more training in the holdings and use of documents, while 58 (74%) said they did not. Part of the reason for this may lie in the wording of the question (one library commented that it is a "Have you stopped beating your wife?" question).

ABOUT REGIONAL DEPOSITORY LIBRARIES (116)

When asked to rate the way the Regional performs various services (Question 116), most libraries rated the New York State Library adequate in most categories. The one big exception to that is in the area of training, where 26 of 45 respondents to that question (58%) rated it inadequate. The table below shows the results:

	Excellent	Adequate	Inadequate
Interlibrary Loan	16	37	3
Training	1	17	26
Discard	21	33	7
Reference	10	32	5
Backup Collection	19	29	5

FOOTNOTES

[1]One library checked that it is both an academic and a federal library; another said that it both an academic and an agricultural library. They were both included in the academic totals.

[2]One public library marked that it is also a cooperative library.

[3]One library that stated it cannot determine the size of its collection also made an estimate of 10,000 to 50,000; that estimate is included on Figure 1.

[4]Libraries under 10% have specialized collections and small clientele.

[5]One library reports that it uses both OCLC and RLIN; it was included in both categories.

[6]Sixteen libraries classify 100% of their documents in a single system as follows: Superintendent of Documents (nine libraries), Library of Congress (four libraries), Dewey (one library), local system (two libraries).

[7]One library checked both "yes" and "no" to this question; its response was counted as a "yes" because the comments show it really was a qualified "yes" rather than a "no".

SOURCE: Biennial Report of Depository Libraries, January 1982 STATE TOTALS

GENERAL INFORMATION (Questions 10, 13, 14, 15, 16)

10. This library is primarily a:

17 (a) Public library
48 (b) Academic library
1 (c) Court library
(d) Historical Society library
1 (e) State library agency
9 (f) Law library
2 (g) Medical library
1 (h) Agriculture library
(i) Mines library
2 (j) Federal library
2 (k) Other (write in) System (counted as public); Insurance (counted as academic)

13. How many volumes does the entire library have? (Do not include Federal documents in hard copy or microfiche.)

(a) Fewer than 10,000
3 (b) Between 10,000 and 50,000
18 (c) Between 50,000 and 150,000
31 (d) Between 150,000 and 500,000
14 (e) Between 500,000 and 1,000,000
7 (f) Between 1,000,000 and 4,000,000
5 (g) More than 4,000,000
1 (h) Unable to determine

14. How many Federal documents does the library have? (Include hard copy and microfiche.)

10 (a) Fewer than 10,000
17 (b) Between 10,000 and 50,000
15 (c) Between 50,000 and 100,000
16 (d) Between 100,000 and 300,000
6 (e) Between 300,000 and 500,000
5 (f) Between 500,000 and 1,000,000
1 (g) More than 1,000,000
9 (h) Unable to determine

15. Is the library a Depository for other Federal agency publications programs? (Check all that apply.)

9 (a) NASA
1 (b) EPA
4 (c) Patent Office
3 (d) Energy
4 (e) Census
19 (f) USGS maps
5 (g) National Ocean Survey maps
7 (h) Defense Mapping Agency maps
3 (i) Other _____
52 (j) None of the above

16. Of the approximately 5,000 item numbers available for selection of Depository documents, what percentage has the library chosen?

1 (a) 100%
7 (b) 75-99%
13 (c) 50-74%
24 (d) 25-49%
25 (e) 10-24%
5 (f) 5-9%
3 (g) 1-4%

(If the percentage is below 10%, justify under the "COMMENTS SECTION" at the end of the form)

ACCESSIBILITY AND HOUSING (Questions 18, 21, 22, 25, 37, 38, 39)

18. Who can gain access to the Depository documents? (Check all that apply.)

75 (a) Anyone can gain access to the material
11 (b) Special procedures are required for those without an appropriate library card
1 (c) This library is for a special clientele, so patrons are often asked to use another Depository or get a letter of reference
3 (d) Other (Please explain in "COMMENTS SECTION")

STATE TOTALS

21. What kind of access to the Depository documents do patrons have? (Check all that apply.)

53 (a) Everyone is admitted and has access to the stacks
23 (b) Everyone is admitted but isn't normally allowed in the stacks
8 (c) Everyone is admitted but is asked to wait in a room while the document is retrieved
1 (d) People are usually referred to other Depositories, or documents are sent to them by using interlibrary loan from another library
5 (e) People need to call ahead before they come so the staff can alert the guard to let them into the building
4 (f) Other (Please explain in "COMMENTS SECTION")

22. Are there accurate and sufficient signs throughout the building(s) to enable patrons to locate Depository documents? (Check all that apply.)

26 (a) There are adequate signs in all the buildings
12 (b) There are good signs within the documents area, but not in the rest of the building(s)
24 (c) Depository documents are integrated into the collection, therefore there are no separate signs
25 (d) The Depository Decal is the only indicator that depository documents are located in the library
6 (e) There are inadequate signs (or none at all)
7 (f) Other (Please explain in "COMMENTS SECTION")

25. Describe how documents are housed in relation to the rest of the collection: (Check all that apply)

54 (a) Most Depository materials are in a separate unit in the library
29 (b) Most Depository materials are integrated throughout the library
3 (c) Most documents are split among different areas of the library based on subject, but not integrated with non-depository materials
39 (d) Some documents are housed separately from other Depository materials because of their format (e.g. microfiche or maps)
4 (e) A large percentage of documents are housed in branches of the library system
2 (f) A large percentage of documents are sent to a location(s) outside the Depository library (i.e. to other institutions)
3 (g) A large percentage of documents are in storage

37. Is the library equipped with enough shelf space to house the volume of hard copy documents it would like to select from GPO during the next two years?

64 (a) YES
12 (b) NO
3 (c) Other_____

38. Is the library equipped with enough microfiche cabinets or boxes to house the volume of microfiche it would like to select from GPO during the next two years?

63 (a) YES
14 (b) NO
3 (c) Other_____

39. Is the library equipped with enough map cases or shelf space to house the volume of maps it would like to select from GPO during the next two years?

44 (a) YES
14 (b) NO
20 (c) Other_____

STATE TOTALS

RECORDKEEPING AND PROCESSING (Questions 47, 50, 52, 53, 54, 58, 59, 62, 64)

47. What percentage of Depository documents is checked into a centralized record, such as a shelf list?

25	(a) 100%	6	(e) Between 10-24%
15	(b) Between 75-99%	9	(f) Between 1-9%
13	(c) Between 50-74%	8	(g) None
2	(d) Between 25-49%		

50. What percentage of documents are cataloged by the library?

7	(a) 100%	16	(e) 10-24%
10	(b) 75-99%	15	(f) 5-9%
7	(c) 50-74%	14	(g) 1-4%
8	(d) 25-49%	1	(h) None

52. Does the library use any of the following for cataloging documents? (Check all that apply)

59 (a) OCLC
9 (b) RLIN
____ (c) WLN
1 (d) Other NYPL Miles (Please specify, if another bibiographic utility is used)
____ (e) GPO tapes through a vendor
1 (f) GPO tapes loaded in library computer
9 (g) None of the above

53. How are the bibliographic utilities used in the library's treatment of Depository documents? (Check all boxes that apply)

	Reference	Interlibrary Loan	Cataloging	Check in
OCLC	29 (a)	37 (b)	41 (c)	6 (d)
RLIN	6 (e)	7 (f)	9 (g)	1 (h)
WLN	____ (i)	____ (j)	____ (k)	____ (l)
Other	5 (m)	4 (n)	4 (o)	3 (p)

(Describe in "COMMENTS SECTION" answers "m"-"p")

54. What percentage of documents is in the library's main card catalog or its equivalent online?

14	(a) 75-100%	17	(d) 10-24%
10	(b) 50-74%	28	(e) 1-9%
8	(c) 25-49%	1	(f) None

58. How are documents received through the Depository Library Program classified? (Check one box representing a percentage for each classification system.)

	None	1-10%	11-25%	26-75%	76-99%	100%
SuDocs	2(a)	4(b)	3(c)	13(d)	33(e)	9(f)
LC	3(g)	24(h)	10(i)	6(j)	3(k)	4(l)
Dewey	14(m)	12(n)	2(o)	6(p)	1(q)	1(r)
Local	13(s)	3(t)	4(u)	2(v)	4(w)	2(x)

(Please describe answers "s"-"x" in the "COMMENTS SECTION")

STATE TOTALS

59. According to the type of material, what classification systems are used for Depository documents? (Check all that apply)

	Su Docs	LC	Dewey	Local
Hardcopy	62 (a)	46 (b)	17 (c)	11 (d)
Microfiche	65 (e)	16 (f)	6 (g)	10 (h)
Maps	33 (i)	9 (j)	2 (k)	14 (l)

(Please explain answers "d", "h", and "l" in the "COMMENTS SECTION")

62. Does the library keep most superseded documents for research purposes?
21 (a) YES 57 (b) NO

64. Are statistics kept for the following Depository operations? (Check all that apply)
18 (a) in house use
38 (b) circulation
22 (c) interlibrary loan
17 (d) reference
39 (e) discard
64 (f) receipt of new publications

SERVICE AND USAGE (Questions 67, 68, 69, 70, 74, 75, 76, 77, 78, 79, 80, 81, 82, 84, 85, 86, 88, 89, 90, 91, 92, 93, 97)

67. How many hours of documents reference service are available during the hours the library is open?
8 (a) Fewer than 40 hours per week
19 (b) Between 41-60 hours per week
44 (c) Between 61-90 hours per week
7 (d) Between 91-120 hours per week
___ (e) More than 121 hours per week

68. Is documents reference service available?
31 (a) During all hours the library is open
37 (b) The same as the general reference areas
11 (c) Fewer hours than in the general reference areas
___ (d) More hours than in the general reference areas
2 (e) Other_____

69. Does the same staff perform general reference and documents reference?
68 (a) YES
4 (b) NO
6 (c) Other_____

70. Does the documents staff coordinate its reference activities with other public service areas of the library?
57 (a) The same staff is involved
20 (b) YES, there are meetings during which the staff talks about new tools, reference problems, etc...
2 (c) NO, the staffs rarely communicate
4 (d) Other (Please explain in "COMMENTS SECTION")

74. Does the library have adequate commercial reference indexes to facilitate the use of Depository documents?
71 (a) YES 8 (b) NO

STATE TOTALS

75. Are online data base searches available for patrons using Depository documents?
47 (a) YES 33 (b) NO

76. Do those who perform documents reference have access to online data bases (such as Lockheed, BRS, SDC):
26 (a) The documents staff has access to online data bases and can search them
16 (b) The documents staff has no access to online data bases because other library staff handles searching
29 (c) There are no online data bases available in the library at this time
10 (d) Other_____

77. What percentage of Depository documents are allowed to be checked out?
23 (a) 100% (except for a few reference tools)
22 (b) 75-99%
10 (c) 50-74%
3 (d) 25-49%
3 (e) 10-24%
6 (f) 1-9%
11 (g) None

78. If documents circulate, who may check them out?
35 (a) Anyone in the community
26 (b) Only the primary clientele served by this library (e.g. students)
7 (c) Decisions to circulate documents are made on an individual basis, depending on the patron's needs
11 (d) Documents do not circulate

79. If documents circulate, for how long are they usually loaned?
1 (a) Overnight
2 (b) Less than one week
4 (c) One week
19 (d) Two weeks
41 (e) Three weeks or longer
10 (f) Documents do not circulate

80. How does this compare to circulation policies for other library materials?
1 (a) Documents are loaned for a longer period than other library materials
12 (b) Documents are loaned for a shorter period than other library materials
55 (c) Documents are loaned for the same period as most other library materials

81. How does the library circulate microfiche? (Check all that apply)
47 (a) Microfiche does not circulate
52 (b) Patrons may use a reader/printer to reproduce the necessary material
14 (c) A fiche-tofiche duplicator is used to reproduce the whole fiche for the patron
13 (d) Patrons may check out fiche, but the library has no readers that can circulate
11 (e) Patrons may check out fiche and borrow a microfiche reader
1 (f) The library doesn't select fiche
3 (g) Other_____

82. How does the library circulate maps?

30 (a) Maps do not circulate
20 (b) Patrons may make a copy of the map
21 (c) Patrons may check out most maps
23 (d) The library doesn't select maps
5 (e) Other_____

STATE TOTALS

84. Is the interlibrary loan policy consistent with the circulation policy in terms of what Depository documents will be loaned and to whom? (Check all that apply)

6 (a) More documents will be circulated to the library's own users than to someone on interlibrary loan
6 (b) More documents will be sent out on interlibrary loan than would be checked out to the library's immediate users
60 (c) The policy is consistent between both types of users and types of documents
7 (d) Other_____

85. Does the library charge a fee for the interlibrary loan of Depository documents? (Check all that apply)

5 (a) It charges a fee which is structured differently for different borrowers
23 (b) The fees are comparable to the fees charge by the library for other materials
___ (c) The fees are set up differently for Depository documents than for other library materials (Depository fees are higher)
___ (d) The fees are set up differently for Depository documents than for other library materials (Depository fees are lower)
14 (e) The library has varying fee structures based upon interagency agreements, not based on the materials
6 (f) Materials are not loaned
38 (g) Other_____

86. What other Depository or Depositories does the library rely on most often for reference help or for a good back-up collection? (list names of libraries)

20 (a) The Regional, which is NEW YORK STATE LIBRARY
49 (b) A selective, which is_____
26 (c) This library doesn't rely on any other library very often

87. Does the same staff which maintains Depository materials also handle the majority of Depository microfiche?

19 (a) YES, initially the fiche are checked in and processed by the staff, but then the microfiche are housed outside the documents area
49 (b) YES, almost everything remains in the area and is handled and serviced by the same staff
2 (c) NO, the fiche are immediately sent elsewhere and are not handled by the same staff
7 (d) There is no specific staff that handles all Depository materials
1 (e) The library doesn't select microfiche
1 (f) Other (Please explain in the "COMMENTS SECTION")

88. Does the Depository staff have easy access to at least one microfiche reader?

75 (a) YES 2 (b) NO

89. Are there a sufficient number of workable microfiche readers to service the Depository microfiche?

74 (a) YES
3 (b) NO
1 (c) The library doesn't select microfiche from GPO
1 (d) The library has no microfiche readers

STATE TOTALS

90. Does the Documents staff have easy access to at least one microfiche reader/printer?

68 (a) YES 11 (b) NO

91. Are there an adequate number of workable reader/printers to service the depository microfiche?

61 (a) YES
14 (b) NO
1 (c) The library doesn't select microfiche from GPO
4 (d) The library has no microfiche reader/printer

92. Does the library have a fiche-to-fiche duplicator which can be used by Depository staff for reproducing microfiche?

15 (a) YES, there is at least one and it can be used by Depository staff
8 (b) NO, although the library has one, it can't be used by Depository staff
56 (c) The library doesn't have a fiche-to-fiche duplicator

93. Can patrons get copies of microfiche on the fiche-to-fiche duplicator?

17 (a) YES
5 (b) NO
56 (c) There is no fiche-to-fiche duplicator available in the library
2 (d) Library does not select microfiche

97. Is the major portion of the Depository materials located near a photocopy machine that is available during library hours?

70 (a) YES 7 (b) NO

STAFFING AND BUDGET (Questions 101, 102, 103, 105)

101. Is there enough professional staff in the library to care for Depository documents and to perform the public services and technical services functions for Depository operations?

62 (a) YES, there is adequate staff
4 (b) There is sufficient professional staff for public services, but not for technical services
2 (c) There is sufficient professional staff for technical services, but not for public services
10 (d) NO, more professional staff is needed for both kinds of services
2 (e) Other (Please explain in "COMMENTS SECTION")

102. Is there adequate staff to care for stack maintenance and paging (if appropriate)?

58 (a) There is sufficient staff for stack maintenance and paging
2 (b) There is sufficient staff for stack maintenance, but not paging
11 (c) There is sufficient staff for paging, but not stack maintenance
1 (d) Doesn't apply
6 (e) Other_____

STATE TOTALS

103. Is there enough support staff (other than for stack maintenance and/or paging) in the library appointed to care for the Depository collection and to perform all the public service and technical service functions for Depository operations?

61 (a) YES, there is adequate staff
2 (b) There is sufficient support staff for public services, but not for technical services
3 (c) There is sufficient support for technical services, but not for public services
11 (d) NO, more support staff is needed for both kinds of services

105. Does the documents staff need more training in the handling of documents and their use?

20 (a) YES 58 (b) NO

ABOUT REGIONAL DEPOSITORY LIBRARIES (Questions 116, 117)

116. Rate the way in which the Regional performs the services listed below. (In states served by more than one Regional, rate the one which is more frequently used).

	Excellent	Adequate	Inadequate
Interlibrary Loan	16 (a)	37 (b)	3 (c)
Training	1 (d)	17 (e)	26 (f)
Discard	21 (g)	33 (h)	7 (i)
Reference	10 (j)	32 (k)	5 (l)
Back-up Collection	19 (m)	29 (n)	5 (o)

117. If the Regional library is not performing all the services the library needs, has the Regional been notified about the problem?

9 (a) YES, but the Regional cannot fulfill the needs
1 (b) YES, but the Regional just doesn't fulfill the needs
14 (c) NO, no one has told the Regional about the problems
(d) Doesn't apply because there is no Regional
41 (e) Doesn't apply because the Regional provides good services

APPENDIX E.

SAMPLE ENTRY FORM FOR
REGIONAL OR STATEWIDE DIRECTORIES

FEDERAL DEPOSITORY LIBRARY PROFILES

Organization:

Date of Depository Designation:

Depository Number:

Telephone:

Hours:

Documents Librarian:

Subject Emphasis:

ILL:

Services:

Notes (unique features of collection e.g. Readex cards, CIS fiche collection):

Form to gather information for resource directory of depository libraries and other document collections in the region of the Central New York Library Resources Council

Developed by Jane Kalkbrenner, Onondaga County Public Library, and Sue Wood, Supreme Court Law Library, Syracuse, N.Y.

APPENDIX F.

RESOLUTION ON RESTRICTIONS ON ACCESS TO GOVERNMENT INFORMATION

WHEREAS, the American Library Association has determined that its No. 1 priority is to "promote efforts to assure every individual access to needed information at the time needed;" and

WHEREAS, ALA in 1981 further confirmed its concern that there should be "free and equal public access to the data collected, compiled, produced, and publiched in any format by the government of these United States" (Council Document #71.2 adopted July 1981); and

WHEREAS, the present administration appears to have established a pattern of restricting access to government information, to wit:

1) The Office of Management and Budget Bulletin 81-16 resulted in massive curtailment of the executive agencies' publication of government books, pamphlets, periodicals and films, a few of which have been turned over to commercial publishers at much higher rates to the purchasers (Washington Post June 11, 1982 and CRL News June 1982);

2) Difficulties in obtaining statistical information: numerous Census Bureau studies are no longer available, and certain critical sections of the 1980 census are projected to be available, only on microfiche; library and education statistics are collected and published less often at the National Center for Education Statistics; and the OMB Statistical Policy Branch, the unit which coordinated over 70 federal statistical programs has been abolished and its functions transferred to another OMB unit without adequate staff or funding;

3) Limitations on the Freedom of Information Act: The Executive Order of April 2, 1982 restricts the ability of the public to obtain the release of improperly classified government informaiton; and pending Congressional legislation may impose further limitations (CRL News June 1982);

4) Severe restrictions have been placed by the Executive departments on the rights of the news media and of former government employees to write or speak critically of government activities (Newsletter on Intellectual Freedom January, March and May 1982);

5) Severe budget cuts for the National Archives and Records Service have resulted in reduced reference service, large processing backlogs, a halt in processing of the Nixon papers and the declassification program, lack of service for the unique government publications archival collection at Suitland, and the elimination of interlibrary loan service by the Fort Worth Federal Archives Record Center, the main source of films of the census, diplomatic, pension and other records (Council Document #23.2 adopted January 1982), some of which restrictions have now been eased by a slight adjustment in the NARS budget, and

6) The Public Printer has implemented a policy not to offer for public sale government documents which are not expected to yield revenues of at least $1000 in a twelve-month period; and

7) The present government is refusing to publish tax financial research studies whose conclusions it disagrees with, and refusing permission to the researchers to publish elsewhere; and

WHEREAS, it has been shown that the threatened closing of 23 Government Printing Office bookstores (Council Document #23.3 adopted January 1982) has now been postponed due to public pressure, and in other situations that sufficient public response can change the government's actions; now therefore, be it

RESOLVED, that ALA and its units recognize the responsibility to alert its members and the citizenry at large to the mounting threat to access to information needed for the fulfillment of the democratic process; and, be it

FURTHER RESOLVED, that ALA and its units will use all normal channels of communication, whenever possible, to alert members and the public to this increasing danger, so long as the need exists; and, be it

FURTHER RESOLVED, that the ALA Public Information Office issue a press release on this resolution, to be forwarded to the President of the United States and to members of the U.S. Congress, and to be further distributed and utilized to achieve library and public awareness, as the Public Information Office may determine, within its normal budget capabilities.

Adopted by the Council of the
American Library Association
Philadelphia, Pennsylvania
July 14, 1982
(Council Document #80)